

File 16:Gale Group PROMT(R) 1990-2004/Nov 29  
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File 148:Gale Group Trade & Industry DB 1976-2004/Nov 29  
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File 275:Gale Group Computer DB(TM) 1983-2004/Nov 29  
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File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc  
File 625:American Banker Publications 1981-2004/Nov 24  
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File 268:Banking Info Source 1981-2004/Nov W4  
(c) 2004 ProQuest Info&Learning  
File 626:Bond Buyer Full Text 1981-2004/Nov 24  
(c) 2004 Bond Buyer  
File 267:Finance & Banking Newsletters 2004/Nov 22  
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Set	Items	Description
S1	377481	(TRADING OR INVESTMENT?) (3N) (RECORD OR RECORDS OR ACTIVITY OR ACTIVITIES)
S2	185574	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (RECORD OR RECORDS - OR ACTIVITY OR ACTIVITIES)
S3	691041	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (PORTFOLIO? OR INVESTMENT? OR ACCOUNT OR ACCOUNTS)
S4	25833	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) ACCESS?
S5	10933	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (REVIEW? OR TRACK? OR MONITOR?)
S6	91225	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (ADVIC? OR ADVIS?)
S7	31	AU=(FITZPATRICK, W? OR FITZPATRICK W? OR FULONG, J? OR FULONG J? OR MAUER, R? OR MAUER R? OR HUMMELBERG, D? OR HUMMELBERG D? OR MARTONE, B? OR MARTONE B?)
S8	65	CONSULTNET?
S9	1195978	S1 OR S2 OR S3
S10	126203	S4 OR S5 OR S6

S11	1657	S9(5N)S10
S12	50	S11(S) (COMPUTER? OR ELECTRONIC? OR AUTOMATE?)
S13	23	S12 NOT PY>1999
S14	20	RD (unique items)
S15	7	S8(S) (S9 OR S10)
S16	7	S15 NOT S14
S17	6	RD (unique items)
S18	0	S7(S) (S9 OR S10)

14/3,K/1 (Item 1 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2004 The Gale Group. All rts. reserv.

05593967 Supplier Number: 48467020 (USE FORMAT 7 FOR FULLTEXT)

**Advent Eases the Way for Bank of Hawaii.**

Business Wire, p5051136

May 5, 1998

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 486

... any other portfolio management system.

Moxy, Advent's intra-day trading and order management system, **automates** the time-consuming and labor-intensive processes within the money manager's trading environment. Moxy improves productivity and facilitates order preparation. **Traders** control their trades, **monitor trading activity** and speed up block allocation with Moxy. More sites use Moxy than any other trading...

14/3,K/2 (Item 2 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)  
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05458506 Supplier Number: 48274488 (USE FORMAT 7 FOR FULLTEXT)

**AEW Capital Management Implements Advent Software.**

Business Wire, p02051223

Feb 5, 1998

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 437

... processes within the money manager's trading environment.

Moxy improves productivity and facilitates order preparation. **Traders** control their trades, **monitor trading activity** and speed up block allocation with Moxy. Advent Software Inc. is a leading provider of stand-alone and client/server software products, data interfaces, and related services that **automate** and integrate mission-critical functions of investment management organizations.

The company provides a suite of...

14/3,K/3 (Item 3 from file: 16)

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04164775 Supplier Number: 46082391 (USE FORMAT 7 FOR FULLTEXT)

**Financial firms press SEC for clearer Internet rules**

Investment Dealers' Digest, p8

Jan 22, 1996

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 926

... Spierer, assistant general counsel of Merrill Lynch. 'Instead, the flow of all information between issuers, **broker -dealers**, **investment advisers** and their **clients** and shareholders should be evaluated to see whether **electronic** communication and dissemination of information is effective, secure, and in the public interest.'

In its...

14/3,K/4 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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09875772 SUPPLIER NUMBER: 20001117 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Advent Software Wins Wells Fargo Account.**  
Business Wire, p11201127  
Nov 20, 1997  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 532 LINE COUNT: 00052

... processes within the money manager's trading environment. Moxy improves productivity and facilitates order preparation. **Traders** control their trades, **monitor trading activity** and speed up block allocation with Moxy.

Rex(TM), Advent Software's automated reconciliation service...

14/3,K/5 (Item 2 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2004 The Gale Group. All rts. reserv.

09293150 SUPPLIER NUMBER: 19033712 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**The offering and distribution of securities in cyberspace: a review of regulatory and industry initiatives. (Blue Sky Survey)**  
Gavis, Alexander C.  
Business Lawyer, 52, n1, 317-378  
Nov, 1996  
ISSN: 0007-6899 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 33460 LINE COUNT: 02746

... transfer agents. According to the SEC, these entities first should consider the extent to which **electronic** communication provides timely and adequate notice that such information is available **electronically** .(94) Second, similar to the October Interpretive Release, the release indicated that persons to whom information is sent **electronically** should be given access to information comparable to that which would have been provided if the information were delivered in paper form.(95) Third, if **electronic** delivery ...broker-dealers, investment advisers, or transfer agents, they should have reason to believe that the **electronically** delivered information actually was received by the intended recipients.(96) According to the SEC, this can be achieved by (i) obtaining the intended recipient's informed consent to **electronic** delivery, and assuring that he or she has appropriate access and notice; (ii) obtaining actual evidence of receipt through, for example, a return receipt **electronic** mail message; or (iii) disseminating information through certain facsimile methods.(97)

The release also addressed...

...100)

The electronic delivery of information that, in some cases, is being provided voluntarily by **broker -dealers** or **investment advisers** to **customers** and clients is not covered by the release and therefore does not have to comply...

...this regard, the release stated that it is permissible for investment advisers to use various **electronic** media to disseminate advertisements for an investment adviser's services. The release noted, however, that, if

an adviser uses a publicly available **electronic** medium, such as a Web site, to provide information about its services, the adviser may...

14/3,K/6 (Item 1 from file: 160)

DIALOG(R)File 160:Gale Group PROMT(R)

(c) 1999 The Gale Group. All rts. reserv.

01852681

**DIGITAL ANNOUNCES SYSTEM COOPERATIVE MARKETING AGREEMENT WITH MONEY MANAGEMENT SYSTEMS, INC.**

News Release December 9, 1987 p. 1

... Inc. of Waltham, Massachusetts. Under the agreement the companies will jointly market MoneyMarket II, an **automated** fixed-income securities trading system targeted for commercial banks, thrift institutions, brokers, and dealers throughout...

... institutions and the treasury departments within banks. In the front office, MoneyMarket II allows securities **traders** to **monitor** and manage **trading activities** throughout the **trading** day. Behind the scenes, data clerks use MoneyMarket II to more efficiently input information from ...

14/3,K/7 (Item 1 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

01555809 SUPPLIER NUMBER: 12177142 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Regional brokers rally. (regional firms are investing profits into systems that increase broker productivity)**

Schmerken, Ivy

Wall Street & Technology, v9, n9, p31(6)

May, 1992

ISSN: 1060-989X

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 2670 LINE COUNT: 00213

...ABSTRACT: upgrade their transaction processing systems. A software package referred to as the brokers book allows **traders** to **electronically access client portfolios**. Many regionals have begun converting from limited-access quote terminals to multi-application- capable X...

14/3,K/8 (Item 1 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

04000515 Supplier Number: 53141811 (USE FORMAT 7 FOR FULLTEXT)

**JW CHARLES CLEARING UNVEILS NET ACCESS FOR CLIENTS.**

Greco, Lisa Del

Operations Management, p1(1)

Feb 2, 1998

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 382

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...Charles Clearing Corp. has rolled out a new Web site that will allow

correspondent firms' **brokers** to access customer accounts . Brokers will be able to check account status, such as settlement and trade date information from...

...The new service will enable about 55 of its start-up broker/dealer clients to **electronically** access the information easily. Previously, the correspondents had to go through a cumbersome, time-consuming...

14/3,K/9 (Item 2 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

03996193 Supplier Number: 53123817 (USE FORMAT 7 FOR FULLTEXT)

**FLORIDA CLEARING FIRM GIVES CLIENTS ACCOUNT ACCESS.**

Financial Net News, p6(1)

Feb 2, 1998

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 173

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...Charles Clearing Corp. has rolled out a new Web site that will allow correspondent firms' **brokers** to access customer accounts . Reps will be able to check account status, including settlement and trade date information from...

...will enable about 55 of its start-up broker/dealer clients to access the information **electronically** through the site (www.jwccc.com). The firm plans to extend the service to correspondents...

14/3,K/10 (Item 3 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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03996187 Supplier Number: 53123811 (USE FORMAT 7 FOR FULLTEXT)

**ADVEST TO GIVE BROKERS INTRANET TOOLS.**

Financial Net News, p4(1)

Feb 2, 1998

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 210

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...Advest will launch a new intranet-based portfolio and contact management system, allowing its retail **brokers** to organize and access client information and track **investment** performance online. The browser-based system is being developed by Plaid Brothers Software. Using Web...

...Advest's internal server will allow the firm to eventually let clients access account information **electronically** , said Ernie Smith, group v.p. for information services. That feature will likely be added...

14/3,K/11 (Item 4 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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03826776      Supplier Number: 48308702    (USE FORMAT 7 FOR FULLTEXT)  
**SCHRODER TO GIVE ACCOUNT DATA TO CORRESPONDENTS.**  
Financial Net News, vIII, n8, pN/A  
Feb 23, 1998  
Language: English      Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count:    166

(USE FORMAT 7. FOR FULLTEXT)

TEXT:

Schroder & Co. is planning to allow its clearing correspondents and their **customers** to **access account** data through **broker** /dealer Web sites. This will enable customers to **electronically** access daily information with a password, rather than waiting for monthly reports in the mail...

**14/3,K/12      (Item 5 from file: 636)**  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
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01156605      Supplier Number: 40975637    (USE FORMAT 7 FOR FULLTEXT)  
**CORE DUMP**  
Trading Systems Technology, v3, n7, pN/A  
Oct 9, 1989  
Language: English      Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count:    616

... introduced Snapnet Back Office (SNBO), an online trade processing system. The system books trades to **customer accounts**, generates **client** and **broker** confirmations, **tracks** commissions, **automates** compliance procedures and gives customer position statements on demand. The system, which runs on UNIX...

**14/3,K/13      (Item 1 from file: 9)**  
DIALOG(R)File 9:Business & Industry(R)  
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2359574      Supplier Number: 02359574      (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Hancock Testing Site for Brokers, Plan Sponsors**  
**(John Hancock Funds began testing password-protected site that will allow brokers to access client accounts online)**  
Fund Marketing Alert, v IV, n 4, p 4  
January 25, 1999  
DOCUMENT TYPE: Newsletter (United States)  
LANGUAGE: English    RECORD TYPE: Fulltext  
WORD COUNT:    133

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...sponsors and expects to begin rolling it out in March. The site, which will allow **brokers** to **access client accounts** online, marks another step in the firms strategy to cater to the financial planner community...

...handful of firms to a conference call it is holding, said Gerry Sullivan, director of **electronic** commerce. Hancock hired Boston-based Art Technology Group to program the site and Ingalls Interactive...

14/3,K/14 (Item 2 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
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1923261 Supplier Number: 01923261 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Giving Financial Transactions A Human Touch**  
(Transaction Information Systems develops HumanActive Sales Assistant,  
which lets broker review client's stock portfolio and execute trade over  
Internet)  
InternetWeek, p 24  
September 01, 1997  
DOCUMENT TYPE: Journal ISSN: 0746-8121 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 702

ABSTRACT:  
...Domino and other major platforms. The company has developed HumanActive  
Sales Assistant, which lets a **broker review** a **client's** stock  
**portfolio**, send research reports, analyze the performance of stocks and  
execute a trade over the Internet...  
  
...TIS has helped National Discount Brokers (Jersey City, NJ) build its NDB  
WebStation, an online **electronic** trading system introduced last April.  
HumanActive Integrator is the middleware that manages data flow between...

14/3,K/15 (Item 1 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2004 ProQuest Info&Learning. All rts. reserv.

01151695 98-01090  
**Financial firms press SEC for clearer Internet rules**  
Lux, Hal  
Investment Dealers Digest v62n4 PP: 8 Jan 22, 1996  
ISSN: 0021-0080 JRNL CODE: IDD  
WORD COUNT: 933

...TEXT: Spierer, assistant general counsel of Merrill Lynch. "Instead, the  
flow of all information between issuers, **broker-dealers**, **investment**  
**advisers** and their **clients** and shareholders should be evaluated to see  
whether **electronic** communication and dissemination of information is  
effective, secure, and in the public interest."

In its...

14/3,K/16 (Item 2 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2004 ProQuest Info&Learning. All rts. reserv.

00371921 87-30755  
**Fidelity Tests New Global Messaging**  
Brown, Jim  
Network World v4n32 PP: 11-12 Aug 10, 1987  
ISSN: 0887-7661 JRNL CODE: NWW

...ABSTRACT: Boston, Massachusetts), a major money-management and  
investment company, is successfully beta testing a global **electronic**



messaging system, Equinet, from Financial Telecommunications Inc. (FITEI). The messaging system reduces the time and...

...including the brokerage house of Solomon Brothers Inc. and Wells Fargo & Co.'s Wells Fargo Investment Advisors. Brokers, investors, and financial institutions can be linked by Equinet to a central computer in London over...

14/3,K/17 (Item 1 from file: 20)

DIALOG(R)File 20:Dialog Global Reporter  
(c) 2004 The Dialog Corp. All rts. reserv.

05259067 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Netlife software provides secure online e-broking**

BUSINESS TIMES (MALAYSIA), p18

May 11, 1999

JOURNAL CODE: FBTM LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 265

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... monitoring, the Online Brokerage software allows brokers real-time monitoring of a customers portfolio and **electronic** bill payment, all with strict security mechanisms.

"These security mechanisms are addressed at every level...

14/3,K/18 (Item 1 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

0378785

**BEAN COUNTERS OF THE RICH AND FAMOUS**

EDITED BY AMY DUNKIN

Joan Warner

Business Week, Number 3263, Pg 122

April 27, 1992

JOURNAL CODE: BW

SECTION HEADING: Personal Business: Financial Planning ISSN: 0007-7135

WORD COUNT: 1,179

TEXT:

...planning.

That's where the super-CPA comes in. Instead of plugging numbers into a **computerized** 1040 once a year, accountants of the rich and famous can spend hundreds of hours...

...and estate planning all go hand in hand." Often, the accountant consults regularly with a **client**'s lawyer and **portfolio** manager or **broker**, **monitoring** the total financial picture on an ongoing basis.

COMPLICATED FUNDS. Who needs this kind of...

14/3,K/19 (Item 1 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
(c) 2004 The Dialog Corp. All rts. reserv.

04559669

**Cover Story: Mayer & Schweitzer's Black Box and New Science**

John A. Byrne

Traders

December 1,1999 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 1426

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...s overhaul from a mostly retail execution center for Schwab's 6.3 million active **customer accounts** , 300 correspondent **brokers** and its investment **advisors** , to a desk that can provide liquidity, and capital commitment on block trades.

Schwab's...is through a bulge bracket institutional broker that might commit capital "in absurd amounts," an **electronic** communications network or a Mayer style of dealer with natural liquidity and a large limit...

14/3,K/20 (Item 2 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
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04542882

**The Hit parade**

Henry Alpert

Bank Investment Marketing

December 1,1998 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 1573

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...Those are the things the Web makes really powerful," explains Elaine Hamann, the director of **electronic** commerce at OppenheimerFunds in New York ([www.oppenheimerfunds.com](http://www.oppenheimerfunds.com)).

"We also have on-line account...have to spend time surfing around from address to address. In a recent survey on **electronic** commerce, Dalbar, a financial services research firm in Boston, found that 80% of financial professionals...

...to take steps towards a universal site. Some clearing firms, for example, do offer their **broker /dealer** clients Web **access** to **investor accounts** in real-time even if they don't have the other features mutual fund Web...


...prefer the phone. We all get settled into doing things a certain way."

Dalbar's **electronic** commerce survey found that 77% of financial professionals overall and 74% of bank reps have...

?

17/3,K/1 (Item 1 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
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06416034 Supplier Number: 54899295 (USE FORMAT 7 FOR FULLTEXT)  
**PaineWebber Sticks To Full Service -- Brokerage Preps Web Applications That  
Let Clients Collaborate With Advisers. (Company Business and Marketing)**  
Schwartz, Jeffrey  
InternetWeek, p9  
June 14, 1999  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 1055



... s Correspondent Services Corp. (CSC) business unit, which clears securities for other brokerages, will permit **access** to its correspondent **brokers** via the Web. Called CSC In-Touch, it is similar to **ConsultNet**, which lets **brokers access** customer information from any device that has Web access.

All of these enhancements, and others...

17/3,K/2 (Item 1 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
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2489744 Supplier Number: 02489744 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**PaineWebber Sticks To Full Service -- Brokerage Preps Web Applications That  
Let Clients Collaborate With Advisers**  
**(PaineWebber is to offer online trading that will enable collaboration  
between brokers and clients)**  
InternetWeek, p 9  
June 14, 1999  
DOCUMENT TYPE: Journal ISSN: 0746-8121 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 1050

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...s Correspondent Services Corp. (CSC) business unit, which clears securities for other brokerages, will permit **access** to its correspondent **brokers** via the Web. Called CSC In-Touch, it is similar to **ConsultNet**, which lets **brokers access** customer information from any device that has Web access.

All of these enhancements, and others...

17/3,K/3 (Item 2 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
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2296988 Supplier Number: 02296988 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**PaineWebber to Roll Out On-Line Trading Next Year**  
**(PaineWebber plans to launch online trading to one of its fee-based  
brokerage accounts, the Premier Asset account, in 1999 in response to  
customer requests)**  
Web Finance, p N/A

November 16, 1998  
DOCUMENT TYPE: Newsletter (United States)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 620

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...officials said the Internet is also breaking down the walls of the traditional branch office. **Brokers** now have **access** to **ConsultNet**, an Internet-based platform that they can access from home or from a laptop when...

17/3,K/4 (Item 3 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
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2202903 Supplier Number: 02202903 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Power Stations**  
(In 1997, securities companies invested a total of \$146 mil in upgrading of broker workstations; that amount should increase by 20%/yr up to 2000)  
On Wall Street, v 8, n 6, p 53+  
June 1998  
DOCUMENT TYPE: Journal ISSN: 1092-1370 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 1974

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...present it in easy-to-read graphs and tables, and to perform information searches by **investment** category or by **client**. ConsultWorks can even be accessed from outside the office--at home or on-site with a client, for example by connecting with **ConsultNet**, a Web-based version of ConsultWorks, via the World Wide Web.

Furlong says a shift...

17/3,K/5 (Item 1 from file: 15)  
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01730545 03-81535  
**Harmonic convergence**  
Alter, Allan E  
Computerworld The Premier 100 Supplement PP: 14-16 Nov 16, 1998  
ISSN: 0010-4841 JRNL CODE: COW  
WORD COUNT: 1190

...TEXT: client about reinvesting a bond that's about to mature. Then, when they talk to **clients** about their **portfolios**, ConsultWorks will suggest questions to ask and will help the broker make recommendations. In addition, there's an Internetbased version in beta called **ConsultNet**.

"What they are bringing out is very powerful and future-oriented," according to Michael Treacy...

17/3,K/6 (Item 1 from file: 267)  
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04542077

**PaineWebber to Roll Out On-Line Trading Next Year**

Mary Schroeder

Web Finance

November 16,1998 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 639

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...its Premier Asset fee-based brokerage account. Based on the amount of assets in the **account** , **customers** are allocated a certain number of trades per year. With the rollout of on-line...

...line trades, said Steven Hall, a senior analyst with Gomez Advisors. Offering Internet trading to **customers** in fee-based **accounts** will allow the brokerage "to see what the value [of Internet trading] is to customers ...officials said the Internet is also breaking down the walls of the traditional branch office. **Brokers** now have **access** to **ConsultNet** , an Internet-based platform that they can access from home or from a laptop when...

...s brokers have a PC with Internet access at home.

PaineWebber also plans to allow **clients** to download their **account** information into Intuit's Quicken and Microsoft's Money personal financial management programs by the...

?

File 256:TecInfoSource 82-2004/Nov  
 (c) 2004 Info.Sources Inc  
 File 2:INSPEC 1969-2004/Nov W2  
 (c) 2004 Institution of Electrical Engineers  
 File 35:Dissertation Abs Online 1861-2004/Oct  
 (c) 2004 ProQuest Info&Learning  
 File 65:Inside Conferences 1993-2004/Nov W3  
 (c) 2004 BLDSC all rts. reserv.  
 File 99:Wilson Appl. Sci & Tech Abs 1983-2004/Oct  
 (c) 2004 The HW Wilson Co.  
 File 233:Internet & Personal Comp. Abs. 1981-2003/Sep  
 (c) 2003 EBSCO Pub.  
 File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
 (c) 2002 The Gale Group  
 File 474:New York Times Abs 1969-2004/Nov 24  
 (c) 2004 The New York Times  
 File 475:Wall Street Journal Abs 1973-2004/Nov 24  
 (c) 2004 The New York Times  
 File 139:EconLit 1969-2004/Nov  
 (c) 2004 American Economic Association

Set	Items	Description
S1	6428	(TRADING OR INVESTMENT?) (3N) (RECORD OR RECORDS OR ACTIVITY OR ACTIVITIES)
S2	2779	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (RECORD OR RECORDS - OR ACTIVITY OR ACTIVITIES)
S3	10134	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (PORTFOLIO? OR INVESTMENT? OR ACCOUNT OR ACCOUNTS)
S4	255	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) ACCESS?
S5	240	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (REVIEW? OR TRACK? OR MONITOR?)
S6	430	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (ADVIC? OR ADVIS?)
S7	61	AU=(FITZPATRICK, W? OR FITZPATRICK W? OR FULONG, J? OR FULONG J? OR MAUER, R? OR MAUER R? OR HUMMELBERG, D? OR HUMMELBERG D? OR MARTONE, B? OR MARTONE B?)
S8	0	CONSULTNET?
S9	19022	S1 OR S2 OR S3
S10	916	S4 OR S5 OR S6
S11	43	S9 AND S10
S12	33	S11 NOT PY>1999
S13	31	RD (unique items)
S14	0	S7 AND (S9 OR S10)

13/5/1 (Item 1 from file: 256)  
DIALOG(R)File 256:TecInfoSource  
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00134387 DOCUMENT TYPE: Review

PRODUCT NAMES: Online Stock Trading (837407)

TITLE: The Internet: Bringing Wall Street to Main Street  
AUTHOR: Gastrock, Kurt  
SOURCE: Wall Street & Technology, v19 n9 p52(2) Sep 2001  
ISSN: 1060-989X  
HOMEPAGE: <http://www.wallstreetandtech.com>

RECORD TYPE: Review  
REVIEW TYPE: Product Analysis  
GRADE: Product Analysis, No Rating

Such financial services companies as TradePortal.com, SchwabWomen.com, and Yodlee.com are attracting online investors with a range of features. TradePortal.com, for example, focuses on day **traders**, providing clients with **access** to the trading floor. SchwabWomen provides investment information and market alerts to women. Yodlee.com aggregates **customers'** multiple online **accounts**. Beyond providing investment processing, online financial services companies are offering customers convenience and cost savings. At the same time, using the Internet has lowered operating expenses for financial firms. One problem resulting from the rise of online trading, however, is that competition has lowered revenue. To maintain their market base, firms are offering customization and more through e-mail and wireless trading channels. For the future, firms must address consumers' privacy concerns, while also providing trading functionality. Financial firms also must meet the requirements of the new Electronic Signatures in Global and National Commerce Act. Currently, 20 million U.S. investors have employed online financial services. That number is expected to increase dramatically in the future.

COMPANY NAME: Vendor Independent (999999)  
DESCRIPTORS: Investment Management; Online Stock Trading; Portals; Stock Market  
REVISION DATE: 20020130

13/5/2 (Item 1 from file: 2)  
DIALOG(R)File 2:INSPEC  
(c) 2004 Institution of Electrical Engineers. All rts. reserv.

4845049

Title: Treasury department computer systems

Author(s): Essinger, J.  
Journal: Financial Technology Insight p.11-14  
Publication Date: Nov. 1994 Country of Publication: UK  
CODEN: FTINEZ ISSN: 0961-5342  
U.S. Copyright Clearance Center Code: 0961-5342/94/\$7.00  
Language: English Document Type: Journal Paper (JP)  
Treatment: Practical (P)

Abstract: Technology plays an essential role in a Treasury department's competitiveness. A financial institution may have the best **traders** in the business, **access** to enormous capital reserves to back enterprising trades, and a **client portfolio** second to none, but if the technology which it deploys in its Treasury department is not first-rate, the

department will be a liability, not an asset. (0 Refs)

Subfile: D

Descriptors: banking; computer selection

Identifiers: treasury department; financial institution; competitiveness; information technology; competitive; banking industry

Class Codes: D2050E (Banking); D5000 (Office automation - computing)

Copyright 1995, IEE

13/5/3 (Item 2 from file: 2)

DIALOG(R)File 2:INSPEC

(c) 2004 Institution of Electrical Engineers. All rts. reserv.

04274001

**Title:** SunGard strategy

Author(s): Michaels, J.

Journal: Wall Street & Technology vol.10, no.1 p.77-80, 82-4

Publication Date: Sept. 1992 Country of Publication: USA

CODEN: WSTEE5

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: Is Sungard Data Systems Inc.'s goal to dominate the investment support market good for the company and its **customers**. It delivers **investment** support and securities processing software to many market niches, such as the bank investment market, mutual fund and OTC derivatives investors. But SunGard wants more. It plans to get it through acquisitions and a shared resource approach, in which computer line code and functionality are shared company-wide to create new products or enhance established ones with friendly graphical user interfaces, for instance. The 16-year-old company wants to penetrate the vertical investment support market and garner further business from investment **advisers** and **traders** of, for example, exchange-traded derivatives. By the year 2000, SunGard hopes to more than triple its revenues and become a \$1 billion company. (0 Refs)

Subfile: D

Descriptors: investment; securities trading

Identifiers: Sungard Data Systems; investment support; securities processing software; mutual fund; OTC derivatives

Class Codes: D2050F (Financial markets)

13/5/4 (Item 3 from file: 2)

DIALOG(R)File 2:INSPEC

(c) 2004 Institution of Electrical Engineers. All rts. reserv.

03618133 INSPEC Abstract Number: D90001292

**Title:** What's new in boosting broker productivity?

Author(s): Koflowitz, L.

Journal: Wall Street Computer Review vol.7, no.5 p.20-33, 71

Publication Date: Feb. 1990 Country of Publication: USA

CODEN: WSCRDQ ISSN: 0738-4343

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: Wary investors and increased business competition are turning the heat on stockbrokers to find effective new ways of boosting sales. Brokers can be assisted greatly in their efforts to increase productivity by the computer technologies now available. Many software systems are available to help brokers maintain close contact and timely follow-up with current clients, prospect for new clients and **monitor** their clients' **portfolios**. **Broker** automation can be accomplished with the use of



computer systems that incorporate client management, prospecting and telemarketing functions. The number of packages in the market is very large, and this report aims at giving the reader a flavor of the kinds of programs that are available and how brokers in the field are using them to increase their business. (0 Refs)

Subfile: D

Descriptors: investment; stock markets

Identifiers: investors; stockbrokers; productivity; computer technologies ; software systems; client management; prospecting; telemarketing; packages

Class Codes: D2050F (Financial markets)

13/5/5 (Item 4 from file: 2)

DIALOG(R)File 2:INSPEC

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02793449 INSPEC Abstract Number: D87000283

**Title: Financial firms eye desktop publishing**

Author(s): Mazzella, D.P.

Journal: Wall Street Computer Review vol.4, no.2 p.58-64

Publication Date: Nov. 1986 Country of Publication: USA

CODEN: WSCRDQ ISSN: 0738-4343

Language: English Document Type: Journal Paper (JP)

Treatment: General, Review (G); Practical (P)

Abstract: Desktop publishing, the technology that allows PC users to prepare near-typeset quality documents incorporating both textual and graphic material, is quickly moving from publishing circles to the desks of financial **advisors**, money managers, **brokers** and investment bankers. Financial users are finding desktop publishing ideal for producing manuals, daily reports, customer presentations, newsletters, or any other client correspondence. One of the most popular uses of desktop publishing is producing eye-catching analyses of **client portfolios** or other custodial accounts. The systems are growing in popularity because they offer users more control over operations, a significant cost savings, and a professional look to their important business documents. (0 Refs)

Subfile: D

Descriptors: electronic publishing; finance

Identifiers: financial firms; desktop publishing; PC users; near-typeset quality documents; financial advisors; money managers; brokers; investment bankers; **client portfolios**; cost savings; business documents

Class Codes: D2050 (Financial applications)

13/5/6 (Item 1 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

(c) 2003 EBSCO Pub. All rts. reserv.

00525442 99PW02-014

**Trading places: the top online brokers -- We put our money on the line and traded with eight Web brokerages. Here are the best...no bull**

Gerlach, Douglas

PC World, February 1, 1999, v17 n2 p177-185, 7 Page(s)

ISSN: 0737-8939

Languages: English

Document Type: Buyer and Vendor Guide

Geographic Location: United States

Presents a buyers' guide to online stock **brokers**. **Reviews** and rates eight competing brokers, with comparison based on fees, features, guarantee, ease of use, and quality of customer service. Explains that the evaluations were performed by posing as **investors** and opening **accounts**

with each. Selects no overall best, but rather suggests that the choice should depend on what type of service the user wants from the broker. Notes that some provide the lowest rates, while others are best for frequent traders and still others provide high-quality services for the novice investor. Claims that overall, all online brokers are safe and secure; however, comments that they could all benefit from improved customer service. Includes one table and six screen displays. (kgh)

Descriptors: Stock Market; Online Transaction Processing; Investment; Web Sites; Electronic Commerce; Secure Electronic Transaction

13/5/7 (Item 2 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

(c) 2003 EBSCO Pub. All rts. reserv.

00486939 98IE02-112

**Trailblazer tries to stay ahead -- Charles Schwab, an early online broker, feels heat from new, low-cost competitors**

Caulfield, Brian

Internet World , February 9, 1998 , v4 n5 p13, 16, 2 Page(s)

ISSN: 1081-3071

Company Name: Charles Schwab

URL: <http://www.schwab.com>

Languages: English

Document Type: Articles, News & Columns

Geographic Location: United States

Discusses the decision of Charles Schwab to distinguish itself from a plethora of online investment services by effectively removing the distinction between its brokerage account customers and its online account customers. Says the company gave 4.8 million brokerage customers online access to their accounts, and gave 1.2 million online customers access to broker advice by phone or in-person. Adds that the company is attempting to distance itself from the "discount" label by providing value-added services not available from companies offering rock-bottom prices for online trading. Says Schwab also plans to add new tools and information to its Web site, but has hit a snag regarding its plan to post research reports from full-service securities firms. Includes one screen display, one sidebar, and one bar chart. (JC)

Descriptors: Investment; Electronic Commerce; Stock Market; Online Information

Identifiers: Charles Schwab

13/5/8 (Item 3 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

(c) 2003 EBSCO Pub. All rts. reserv.

00478542 97CW11-209

**Intranet eases mutual fund merger pain**

Sliwa, Carol

Computerworld , November 17, 1997 , v31 n46 p57, 59, 2 Page(s)

ISSN: 0010-4841

Languages: English

Document Type: Articles, News & Columns

Geographic Location: United States

Reports that Amvescap PLC, the company resulting from the merger of AIM Management Group Inc. of Houston, TX and Invesco Funds Group Inc. of London, UK, created an intranet to link its 17 offices that are scattered around the world. Says it already has an Internet site up and running which provides general information to the public that includes audio updates as

well as the latest financial news. Adds that it enables **brokers** and **customers** to **access** updated **account** balances and other data related to their portfolios. Also says the intranet features an online phot directory of company employees, extensive information about various funds, research notes, portfolio ideas, and market analysis data. Includes one photo. (dpm)

Descriptors: Intranets; Information Sources; Case Study; Finances; Corporate Information

13/5/9 (Item 4 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

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00465046 97LK07-004

**Prodigy helps investors build and track portfolios**

LINK-UP , July 1, 1997 , v14 n4 p2, 1 Page(s)

ISSN: 0739-988X

Company Name: Prodigy Services

Product Name: Prodigy Internet Investor; Prodigy Internet

Languages: English

Document Type: Product Announcement

Geographic Location: United States

Announces the launch of Prodigy Internet investor, a Web-based financial service from Prodigy Services Corporation (800). Explains that Prodigy Internet investor features stock quotes and custom financial information for building and managing personal portfolios. Categories include: Market Update, for locating current stock information; Portfolio, for creating individual, customizable portfolios; Newswires, for searching business and financial databases; Screening, for identifying market trends; Online Trading, for buying and selling stocks online; and Interest Groups, for **advice** from other **traders**. Also features Easy **tracker**, which allows the user to track the performance of a particular stock. (kgh)

Descriptors: Stock Market; Investment; Financial Planning; Information Services; Online Systems

Identifiers: Prodigy Internet Investor; Prodigy Internet; Prodigy Services

13/5/10 (Item 5 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

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00439016 96CW10-016

**The exchanging of the guard -- As discount stockbrokers lure investors with cheap Web trading, old-line firms counter by bringing their traditional strengths...**

Deck, Stewart L

Computerworld , October 7, 1996 , v30 n41 p105-106, 2 Page(s)

ISSN: 0010-4841

Languages: English

Document Type: Feature Articles and News

Geographic Location: United States

Reports that there are many sites on the Internet where users can place stock trades without investment **advice**. Says traditional **brokers** are moving in to bridge the gap providing by providing their expertise to the consumer. Cites Peter Crane, a financial writer and editor at IBC Financial Data Inc., who says that, "It's very difficult for the established **investment** houses to attract **customers** by competing with the deep online discounters in price." Says they must offer services instead.

States that consumers may save two to three percent in commissions with online transactions, but without investment counselors they may be senselessly taking capital gains or losing 15 percent to estate taxes. Adds that traditional investment companies are trying to build relationships with customers. Includes one sidebar. (bjp)

Descriptors: Investment; Stock Market; Internet; Competition; Financial Planning

13/5/11 (Item 6 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

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00280123 92LU06-006

**(Lane Bond Transfer Model 95) -- Financial software for HP's palmtop**

Kinlan, Jim

Lotus , June 1, 1992 , v8 n6 p100, 1 Page(s)

ISSN: 8756-7334

Company Name: Lane Business Systems

Product Name: Lane Bond Trader Model 95

Languages: English

Document Type: Software Review

Grade (of Product Reviewed): c

Hardware/Software Compatibility: Hewlett-Packard

Geographic Location: United States

Presents a mixed **review** of Lane Bond **Trader** Model 95 (\$345), a financial software product from Lane Business Systems of Rockaway, NJ (800, 201). Runs on Hewlett-Packard Model 95LX palmtop computers. Says Lane Bond Trader Model 95 offers tools for calculating bond prices and yields, and for **investor portfolio** management; but on-line help and publishing were omitted from the documentation. (tbc)

Descriptors: Finances; Financial Analysis; Software Review

Identifiers: Lane Bond Trader Model 95; Lane Business Systems

13/5/12 (Item 7 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

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00271363 92LK03-001

**Smart investor service manages personal investments -- An intelligent agent, professional advice , and discount brokers come with this online service**

Webb, Joseph A

LINK-UP , March 1, 1992 , v9 n2 p1, 30, 2 Page(s)

ISSN: 0073-9988

Company Name: Reality Technologies

Product Name: Smart Investor

Languages: English

Document Type: Feature Articles and News

Geographic Location: United States

Profiles the Smart Investor (\$99.95; \$9.95/monthly unlimited basic service), an online service from Reality Technologies, Ltd. of Philadelphia, PA (215). Requires an IBM-compatible PC - 286 or higher preferably - as well as a 640K RAM, DOS 3.1 or higher, a hard drive and a Hayes-compatible 1200-, 2400- or 9600-bps modem; mouse is optional. Says that Smart Investor, which made its market bow last April, provides users with an array of online services while serving as an intelligent agent to devise an investment plan catering to the user's particular needs. Discusses in detail the four steps involved in the Wealth-Advisor Approach as well as the variety of data and services provided by Smart Investor to

facilitate users in the formulation of investment decisions. Says that Smart Investor even offers Tour De Wealth Challenge, a trad and investment simulation game. Includes a screen. (PAM)

Descriptors: Online Systems; Investment; Management; Online Information; Consumer Information; Database

Identifiers: Smart Investor; Reality Technologies

13/5/13 (Item 8 from file: 233)

DIALOG(R)File 233:Internet & Personal Comp. Abs.

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00245006 91WS07-004

**Pulse Portfolio Management System**

Glazier, Jason

Wall Street Computer Review , July 1, 1991 , v8 n10 p56-58, 2 Pages

ISSN: 0738-4343

Company Name: Equis International

Product Name: Pulse Portfolio Management System

Languages: English

Document Type: Software Review

Grade (of Product Reviewed): C

Hardware/Software Compatibility: IBM PC Compatible; IBM PS/2 Compatible ; IBM PC; IBM PS/2

Geographic Location: United States

Presents a mixed review of Pulse Portfolio Management System (\$349), an investment portfolio management system by Equis International of Salt Lake City, UT (800, 801). Requires an IBM PC compatible or IBM PS/2 compatible with 640 KB RAM, two disk drives (hard disk recommended), and DOS 2.0 or higher. Says it is flexible and can track an unlimited number of investments, and manage up to 75 portfolios. However, it lacks support for hypothecation information, does not signal when an investor is nearing or entering a house or Fed margin call, nor does it contain a stock database, thus requiring all stocks and associated dividend information to entered manually. Says that individual **investors** with several **portfolios** may find the program useful, but it does not meet the portfolio management needs of a professional **broker** or investment **adviser**. Contains one screen display. (jo)

Descriptors: Investment; Stock Market; Software; Software Review

Identifiers: Pulse Portfolio Management System; Equis International

13/5/14 (Item 1 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)

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06146138

New regulations for policy sellers

HONGKONG: SFC AND IA TO CONTROL POLICY SELLERS

South China Morning Post (XKT) 02 May 1995 BP p.2

Language: ENGLISH

Both the Securities and Futures Commission (SFC) and the Insurance Authority (IA) will supervise investment advisers selling investment products embedded with insurance elements in Hong Kong, under the new amendments to Insurance Ordinance, Assistant Insurance Commissioner said. Under the rules, effective from the end of June, all the advisers will have to register with the Insurance Authority no matter how small the insurance element of the product is. The will have to meet certain requirements and observe a code of best practice. The requirements include minimum capital of HK\$100,000, professional indemnity cover of a minimum of HK\$2 mn or

twice the annual brokerage income, keeping separate clients accounts and experience in the field. To become authorised insurance brokers, advisers have to apply to the authority, or join the Confederation of Insurance Brokers (CIB) or the Professional Insurance Brokers Association.  
\*

COMPANY: PROFESSIONAL INSURANCE BROKERS ASSN; CIB; CONFEDERATION OF INSURANCE BROKERS; IA; INSURANCE AUTHORITY; SFC; SECURITIES & FUTURES COMMISSION

PRODUCT: Insurance (6300);  
EVENT: Government Domestic Functions (97); Government Regulations (93);  
COUNTRY: Hong Kong (9HON);

13/5/15 (Item 2 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)  
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06054287

OFT rejects City pleas over report

UK: OFT TO PUBLISH REPORT ON UNDERWRITING FEES  
Financial Times (FT) 03 Oct 1994 p.8  
Language: ENGLISH

A report which says excessive profits on fixed underwriting commissions is being made by fund managers and securities companies is to be published by the Office of Fair Trading (OFT). The fee of 2%, which is shared by the institutional investor, **broker** and corporate **adviser**, is said to be too high. However, the securities industry says the fee needs to compensate for the level of risk associated with placing a large amount of securities during a six-week period. The report is being published despite lobbying by institutional **investors** and **investment** banks.

PRODUCT: Securities & Commodities Exchanges (6230); Securities Dealers (6211); Debt & Equity Securities (E5640);  
EVENT: Commodity & Service Prices (72); Company Reports & Accounts (83);  
COUNTRY: United Kingdom (4UK);

13/5/16 (Item 3 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM).

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04728299

Abbey Nat faces poaching boycott

UK - ABBEY NATIONAL ACCUSED OF POACHING

Money Marketing (MOM) 19 December 1991 p1

Abbey National has been accused of poaching intermediaries' clients by The Financial Advisory Centre (Edinburgh, UK) which claims that Abbey National sent its clients promotional material on a with-profits bond from Scottish Widows. However, according to David Cochrane, regional director at Abbey National, **client records** do not make a distinction between clients who have been introduced to the company or who have contacted it direct. The Financial **Advisory** Centre wants **brokers** to boycott Abbey National.

COMPANY: ABBEY NATIONAL; THE FINANCIAL ADVISORY CENTRE

PRODUCT: Independent Insurance Brokers (6411III);  
EVENT: SERVICES DATA (36);  
COUNTRY: United Kingdom (4UK); OECD Europe (415); NATO Countries (420);  
South East Asia Treaty Organisation (913);

13/5/17 (Item 4 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)

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04638653

**Broker** offers **advise** service for trustees

UK - HORNBUCKLE MITCHELL OFFERS ADVICE SERVICE FOR TRUSTEES

Money Marketing (MOM) 14 November 1991 p12

Hornbuckle Mitchell Financial Services (London, UK) has launched the Trust Investment Service, an investment management service designed for independent trusts' trustees. The new service aims to provide trustees with independent advice on **investment**, taking a **client**'s income needs and tax position into consideration. Charges are 0.75%/y on the initial GBP100k, while minimum trust size is GBP50k. According to the Inland Revenue, in 1989, trusts held GBP7.4 bil.

COMPANY: HORNBUCKLE MITCHELL FINANCIAL

PRODUCT: Fund/Investment Management (6004FM); Independent Insurance Brokers (6411III);

EVENT: NEW SERVICE EXTENSION (36);  
COUNTRY: United Kingdom (4UK); OECD Europe (415); NATO Countries (420);  
South East Asia Treaty Organisation (913);

13/5/18 (Item 5 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)  
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04602530

Brokers adjust 'buy' recommendations

IRELAND - **BROKERS ADVISE INVESTORS TO ALTER PORTFOLIO WEIGHTINGS**  
Irish Times (IT) 25 October 1991 p12

Equity investors in Ireland are being advised by Goodbody stockbrokers to cut their present portfolio weightings in Waterford Wedgwood, AIB and Clondalkin, and to increase their holdings in Bank of Ireland, Kerry Group, Greencore, Irish Life and Crean. It is recommended to make no change to Woodchester shares in a portfolio, although the brokers are concerned whether the Woodchester management will be able to handle the leasing activities of Credit Lyonnaise as well as a leading bank in Ireland. Woodchester has submitted a bid for TSB Dublin.

COMPANY: IRISH LIFE; ALLIED IRISH BANKS; WATERFORD WEDGWOOD; CREDIT LYONNAIS; TSB DUBLIN; KERRY GROUP; GREENCORE; CREAN; CLONDALKIN

PRODUCT: Portfolio Management (6211PM);

EVENT: MARKET & INDUSTRY NEWS (60);

COUNTRY: Ireland/Eire (4IRE); OECD Europe (415); European Economic Community Countries (419); Northern Ireland and Eire (439);

13/5/19 (Item 6 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)  
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03910097

NEW SYSTEM FOR ALLOCATING BLOCK TRADES

US - NEW SYSTEM FOR ALLOCATING BLOCK TRADES

Wall Street Computer Review (WSCR) 0 November 1990 p71  
ISSN: 0738-4343

Thomson Financial Networks (US) has introduced Oasys, a system for allocating block trades. Designed for the institutional investor, the Oasys software automates the process of allocating a large block trade amongst client accounts. Running on 286- or 386-based PCs, which Thomson configures, the software is designed to ensure that correct information is passed between clients and money managers. The system should eliminate some of the errors which can occur when information is passed between institutional investors' advisers and brokers using verbal and manual methods. Oasys can interact with the internal systems of money managers and brokers as well as with Alert, an electronic messaging system from Thomson which is used to transmit delivery instructions to brokers.

PRODUCT: Financial Software (7372FS); CAD/CAM Mechanical Software (COSW);

EVENT: PRODUCTS, PROCESSES & SERVICES (30);

COUNTRY: United States (1USA); NATO Countries (420); South East Asia Treaty Organisation (913);

13/5/20 (Item 1 from file: 474)



DIALOG(R)File 474:New York Times Abs  
(c) 2004 The New York Times. All rts. reserv.

07697394 NYT Sequence Number: 396524990630

**BIG BOARD IN A SETTLEMENT WITH S.E.C.**

King, Sharon R

New York Times, Col. 5, Pg. 1, Sec. C

Wednesday June 30 1999

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

**ABSTRACT:**

Securities and Exchange Commission announces New York Stock Exchange did not adequately **monitor** independent floor **brokers** who illegally profitted from trades; as part of settlement with SEC, Big Board agrees to improve its surveillance of floor brokers by increasing its regulatory staff, reviewing its rules and regulatory procedures and putting in electronic order trading system to monitor **trading activity** ; : settlement is first involving regulatory problems at exchange and raises questions about integrity of exchange at time when individuals have sizable investment and retirement stakes in stock market; exchange does not admit or deny any wrongdoing and no fines or censure will be imposed; NYSE chairman-chief executive Richard A Grasso says exchange will continue its own investigation into issue (M)

COMPANY NAMES: Securities and Exchange Commission; New York Stock Exchange

DESCRIPTORS: Stocks and Bonds; Regulation and Deregulation of Industry;

Securities and Commodities Violations; Brokers and Brokerage Firms;

Frauds and Swindling; Stocks and Bonds

PERSONAL NAMES: Grasso, Richard A; King, Sharon R

**13/5/21 (Item 2 from file: 474)**

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

06816096 NYT Sequence Number: 099139940330

**BROKER SETTLES SEC CASE**

Bloomberg Business News

New York Times, Col. 4, Pg. 14, Sec. D

Wednesday March 30 1994

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

**ABSTRACT:**

Shlomo A Sela, former Paine Webber Inc broker, settles SEC charges of executing unsuitable trades for **customer accounts** in 1987 and making excessive trades to increase his commissions, practice known as churning; without admitting or denying guilt, Sela agrees not to commit future violations and agrees to be barred from associating with any **broker** , investment company, **adviser** or securities dealer (S)

COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (SEC); PAINE WEBBER INC

DESCRIPTORS: STOCKS AND BONDS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS

PERSONAL NAMES: SELA, SHLOMO A

**13/5/22 (Item 3 from file: 474)**

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

04512155 NYT Sequence Number: 995827850917

(Market Place column notes that brokers and investment advisory services are making more 'sell' recommendations than they used to, including once-sacrosanct stocks like AT&T; agree that institutional investors are now demanding specific reasons for 'buy' and 'sell' recommendations (M))

VARTAN, VARTANIG G

New York Times, Col. 3, Pg. 8, Sec. 4

Thursday April 25 1985

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

DESCRIPTORS: STOCKS AND BONDS; **INVESTMENT** STRATEGIES; INSTITUTIONAL **INVESTORS** ; MARKET PLACE (TIMES COLUMN)

PERSONAL NAMES: VARTAN, VARTANIG G

13/5/23 (Item 4 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

00770766 NYT Sequence Number: 041544770720

(SEC charges Investors Diversified Services Inc employee William Langfield and head of trading James A Murray with fraud involving use of inside information. IDS, along with 38 brokerage firms, consents to settlement in connection with charges, neither affirming or denying their participation in scheme with exception of 4 individuals and 2 firms. SEC order alleges that brokers and several individuals traded directly with Langfield giving him preferential price treatment and failing to disclose Langfield as a customer in their records. Langfield, who left IDS in '74, has been barred from assn with a broker-dealer, investment adviser or investment co. Murray has been suspended for 45 days from assn with brokers or investment advisers and barred for 1 yr from supervisory responsibilities. IDS enters into consent agreement with SEC under which it is censured for failing to supervise its employees adequately and will pay \$400,000 to investment cos it advises. In related development, Bowery Savings Bank chmn Morris D Crawford states SEC allegations have nothing to do with resignation of bank's pres H Clifton Whiteman announced July 18 '77. Whiteman had been chief financial officer of IDS (M).)

MILLER, JUDITH

New York Times, Col. 4, Pg. 1, Sec. 4

Wednesday July 20 1977

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: BOWERY SAVINGS BANK (NYC); INVESTORS DIVERSIFIED SERVICES INC; SECURITIES AND EXCHANGE COMMISSION (S; E; C; )

DESCRIPTORS: &SEC; APPOINTMENTS AND EXECUTIVE CHANGES; BROKERS AND BROKERAGE FIRMS; FINES (PENALTIES); FRAUDS AND SWINDLING; INSIDERS INFORMATION; INVESTMENT COUNSELORS; QUESTIONABLE OR CORRUPT ACTIVITIES; STOCKS AND BONDS (GENERAL); SUSPENSIONS, DISMISSALS AND RESIGNATIONS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS

PERSONAL NAMES: MILLER, JUDITH; WHITEMAN, H CLIFTON; CRAWFORD, MORRIS D; LANGFIELD, WILLIAM; MURRAY, JAMES A

13/5/24 (Item 5 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

00659926 NYT Sequence Number: 020762760427

(Commodities Futures Trading Comm shortly will consider recommendation that insurance mechanism be provided to protect accounts of speculators against possible bankruptcy of brokers . Source discloses that advisory com has endorsed plan and has asked that detailed study be conducted to determine how best to protect commodity mkt customers and thereby increase public confidence in commodity trading. Several possibilities are being considered, among them wrapping coverage for commodities into Securities Investor Protection Corp, quasi govt agency set up in '70 to guarantee investors ' stock and bond accounts (M).)

HERSHEY, ROBERT D, JR

New York Times, Col. 8, Pg. 49

Tuesday April 27 1976

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: COMMODITY FUTURES TRADING COMMISSION; SECURITIES INVESTOR PROTECTION CORP (SIPC)

DESCRIPTORS: FUTURES TRADING (GENERAL)

PERSONAL NAMES: HERSHEY, ROBERT D, JR

13/5/25 (Item 6 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

00423636 NYT Sequence Number: 078976730526

(SEC on May 25 warns broker -dealers, investment advisers and inst investors that it will be less lenient in future instances of misuse of inside information, opinion and order finding 4 cos and investment adviser engaged in 'censurable' misuse of adverse inside information; imposes no penalties in view of corrective action and supervisory procedure already undertaken by cos; case grew out of SEC probe of sale of more than 400,000 shares of Faberge Inc stock on Oct 6 '70 on tip from exec vp that its 3d-qr earnings statement would show significant loss; 5 respondents have already entered consent agreements; comm holds case emphasizes need of all securities agencies to implement effective procedures to deter and detect misuse of information; suggests adequate training and educ of employes and trading rev program; cites Hallgarten & Co Reynolds & Co (now Reynolds Securities), and W D Witter Inc for using same adverse inside information in sell orders of Faberge stock)

New York Times, Col. 6, Pg. 39

Saturday May 26 1973

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: ANCHOR CORP; FABERGE INC; GREENE, DAVID J, & CO; HALLGARTEN & CO; HUTTON, W E, & CO; INVESTORS DIVERSIFIED SERVICES INC; REYNOLDS SECURITIES INC; SECURITIES AND EXCHANGE COMMISSION (S.E.C.); SPECTRUM RESEARCH & MANAGEMENT CORP; WITTER, WILLIAM D, INC

DESCRIPTORS: COMPANY REPORTS; INSIDERS INFORMATION; STOCKS AND BONDS

13/5/26 (Item 1 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01105854 NYT Sequence Number: 005084780427

(Senate approves by voice vote bill that would double amount of insurance coverage that Federally-chartered Securities Investor Protection Corp can provide for customers of bankrupt brokerage houses. Legislation would also allow corporation to replace stock losses with stock rather than cash, and it streamlines liquidation procedures by letting corporation pay customers without going to court first. Senate version contains 2 provisions not contained in similar measure passed by House. Would raise to \$2.5 Million from \$500,000 the minimum size of securities offerings that must be registered with SEC. Provision is intended to make it easier for more small businesses to raise capital. Other provision would delay for 6 months the effective Apr 24 date of law that bars securities firms from acting as both broker and investment adviser for institutional accounts. House adopted separate bill that would delay effective date for 10 months (S).)

Wall Street Journal, Col. 2, Pg. 44

Thursday April 27 1978

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (S; E; C; ); SECURITIES INVESTOR PROTECTION CORP (SIPC)

DESCRIPTORS: BANKRUPTCIES; BROKERS AND BROKERAGE FIRMS; INSTITUTIONAL INVESTORS ; INSURANCE; INVESTMENT COUNSELORS; LAW AND LEGISLATION (FEDERAL); LIQUIDATIONS (BUSINESS); SMALL BUSINESS; STOCK OFFERINGS; STOCKS (CORPORATE); STOCKS AND BONDS (GENERAL)

13/5/27 (Item 2 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01101464 NYT Sequence Number: 000694780131

(SEC orders 90-day suspension of Strategic Management Inc's investment adviser registration after concluding that it misled and overcharged its client mutual fund, Strategic Investments Fund Inc. Also orders 90-day suspension of broker-dealer registration of Preferential Brokerage Inc, which executes transactions for fund. Suspends Leroy S Brenna, pres of both Strategic Management and Preferential Brokerage, from association with any broker , dealer or investment adviser for 90 days (M).)

Wall Street Journal, Col. 3, Pg. 17

Tuesday January 31 1978

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: PREFERENTIAL BROKERAGE INC; SECURITIES AND EXCHANGE COMMISSION (S; E; C; ); STRATEGIC INVESTMENTS FUND INC; STRATEGIC MANAGEMENT INC

DESCRIPTORS: &SEC; QUESTIONABLE OR CORRUPT ACTIVITIES; SUSPENSIONS, DISMISSALS AND RESIGNATIONS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS

PERSONAL NAMES: BRENNNA, LEROY S

13/5/28 (Item 3 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01091104 NYT Sequence Number: 009821770207

(Law that bars firms from being both adviser and broker for institutional investors seen leading to dispute between Congress and SEC.

SEC's Market Regulation Div dir Lee Pickard says comm interprets law as giving it 'discretion' to use its rulemaking authority to make changes in section that restricts activities of security firms. Senate staff member involved in securities legis says conference report on law bars SEC from making any changes 'that undermine congressional intent' (S).)

Wall Street Journal, Col. 3, Pg. 8

Monday February 7 1977

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: CONGRESS (GENERAL); SECURITIES AND EXCHANGE COMMISSION (S; E; C; )

DESCRIPTORS: BROKERS AND BROKERAGE FIRMS; INSTITUTIONAL INVESTORS ; INVESTMENT COUNSELORS; JURISDICTIONAL DISPUTES; LAW AND LEGISLATION (FEDERAL); REFORM AND REORGANIZATION (INSTITUTIONAL); STOCKS AND BONDS (GENERAL)

PERSONAL NAMES: PICKARD, LEE A

13/5/29 (Item 4 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01080368 NYT Sequence Number: 019022760419

(SEC bars RDP Investments Ltd from managing and supervising securities accounts for clients . Bars RDP chmn Richard D Peterson from having financial interest in any broker -dealer or investment advisor that manages accounts for clients . Order states firm and chmn may apply to resume activities after 3 years. Suspends RDP pres Donald C Peterson from assn with any investment advisor for 30 days. Order charges 3 respondents with conducting business and accepting advisory and subscription fees without advising clients that RDP was insolvent (S).)

Wall Street Journal, Col. 1, Pg. 7

Monday April 19 1976

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: RDP INVESTMENTS LTD; SECURITIES AND EXCHANGE COMMISSION (S; E; C; )

DESCRIPTORS: INVESTMENT COUNSELORS; STOCKS AND BONDS; SUSPENSIONS, DISMISSALS AND RESIGNATIONS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS

PERSONAL NAMES: PETERSON, RICHARD D; PETERSON, DONALD C

13/5/30 (Item 5 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01075158 NYT Sequence Number: 013812760727

(SEC Law Judge Ralph Tracy orders registrations of Investors Realty Corp and Mullaney, Wells & Co be revoked. Also orders that James E Stowers, owner of Investors Realty, and Richard H Driehaus, dir of research for Mullaney Wells, be barred from association with any broker -dealer on investment advisor . Rules Investors Realty, investment advisor to Twentieth Century Investors Inc, violated Fed securities law by accepting computer services paid for by Mullaney Wells. Mullaney Wells should not be confused with current Mullaney Wells & Co division of Olde & Co, which is not party to sanctions contained in decision. Investors Research plans to appeal decision (S).)

Wall Street Journal, Col. 3, Pg. 4

Tuesday July 27 1976

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: INVESTORS RESEARCH CORP; MULLANEY WELLS & CO; SECURITIES  
AND EXCHANGE COMMISSION (S; E; C; ); TWENTIETH CENTURY INVESTORS INC

DESCRIPTORS: DATA PROCESSING PROGRAMMING AND SYSTEMS; INVESTMENT  
COUNSELORS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS

PERSONAL NAMES: DRIEHAUS, RICHARD H; STOWERS, JAMES E; TRACY, RALPH H  
(JUDGE)

13/5/31 (Item 6 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

01063446 NYT Sequence Number: 002100761201

(Securities Indus Assn is expected to take steps toward reversing  
provisions of Securities Exch Act and Employes Retirement Income  
Security Act which will by May '78 bar securities firms from functioning  
as both brokers and investment advisers for inst investor  
clients. Securities brokers maintain there has been no  
conflict-of-interest or other abuses which provisions of legis aim at  
preventing. Contend laws will limit advisory fee revenues and disturb  
long-standing broker-client relationships (M).)

RUSTIN, RICHARD E

Wall Street Journal, Col. 1, Pg. 13

Wednesday December 1 1976

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: SECURITIES INDUSTRY ASSN

DESCRIPTORS: BROKERS AND BROKERAGE FIRMS; COMMISSIONS (FEES); EMPLOYEE  
RETIREMENT INCOME SECURITY ACT; INSTITUTIONAL INVESTORS ; INVESTMENT  
COUNSELORS; LAW AND LEGISLATION (FEDERAL); PENSIONS AND RETIREMENT;  
SECURITIES EXCHANGE ACT OF 1934; STOCKS AND BONDS

PERSONAL NAMES: RUSTIN, RICHARD E

?

File 344:Chinese Patents Abs Aug 1985-2004/May  
(c) 2004 European Patent Office  
File 347:JAPIO Nov 1976-2004/Jul(Updated 041102)  
(c) 2004 JPO & JAPIO  
File 350:Derwent WPIX 1963-2004/UD,UM &UP=200475  
(c) 2004 Thomson Derwent  
File 348:EUROPEAN PATENTS 1978-2004/Nov W02  
(c) 2004 European Patent Office  
File 349:PCT FULLTEXT 1979-2002/UB=20041125,UT=20041118  
(c) 2004 WIPO/Univentio  
File 331:Derwent WPI First View UD=200475  
(c) 2004 Thomson Derwent  
File 371:French Patents 1961-2002/BOPI 200209  
(c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	594	(TRADING OR INVESTMENT?) (3N) (RECORD OR RECORDS OR ACTIVITY OR ACTIVITIES)
S2	5712	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (RECORD OR RECORDS - OR ACTIVITY OR ACTIVITIES)
S3	7536	(CLIENT? OR CUSTOMER? OR INVESTOR?) (3N) (PORTFOLIO? OR INVESTMENT? OR ACCOUNT OR ACCOUNTS)
S4	520	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) ACCESS?
S5	255	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (REVIEW? OR TR-ACK? OR MONITOR?)
S6	111	(TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (ADVIC? OR ADV-IS?)
S7	26	AU=(FITZPATRICK, W? OR FITZPATRICK W? OR FULONG, J? OR FUL-ONG J? OR MAUER, R? OR MAUER R? OR HUMMELBERG, D? OR HUMMELBE-RG D? OR MARTONE, B? OR MARTONE B?)
S8	1	CONSULTNET?
S9	12095	S1 OR S2 OR S3
S10	769	S4 OR S5 OR S6
S11	16	S9(8N)S10
S12	14	S11 AND IC=G06F
S13	0	S8(8N)S9
S14	1	S8 AND IC=G06F
S15	0	S7(8N)S9
S16	0	S7(8N) (S3 OR S4 OR S5 OR S6)
S17	0	S7(8N) (TRADING OR INVESTMENT?)
S18	10	S7 AND IC=G06F
?		

12/3,K/1 (Item 1 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

01099177 \*\*Image available\*\*

**METHOD AND SYSTEM FOR OFFERING SHORT TERM DERIVATIVE INSTRUMENTS**  
**PROCEDE ET SYSTEME PERMETTANT DE FOURNIR DES INSTRUMENTS DERIVES A COURT**  
**TERME**

Patent Applicant/Assignee:

STEEDS COMPANY INC, 2 Kulessa Court, East Brunswick, NJ 08816, US, US  
(Residence), -- (Nationality)

Inventor(s):

ELIEZER Mintz, 2 Kulessa Court, East Brunswick, NJ 08816, US,

Legal Representative:

WOODS James J (agent), Brown Raysman Millstein Felder & Steiner LLP, 900  
Third Avenue, New York, NY 10022, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200421120 A2 20040311 (WO 0421120)

Application: WO 2003US26809 20030827 (PCT/WO US03026809)

Priority Application: US 2002230977 20020829

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SC SD SE SG  
SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE  
SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 10427

Main International Patent Class: **G06F**

Fulltext Availability:

Detailed Description

Detailed Description

... protocol and no broker 105 has preferential treatment to other brokers  
105.

1.5 The **broker** 105 automatically **tracks** and maintains online  
**accounts** for **customers**. The broker 105 further enables each account to  
be opened completely online.  
The broker 105...

12/3,K/2 (Item 2 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

01035209 \*\*Image available\*\*

**PORTFOLIO MANAGEMENT SYSTEM**  
**SYSTEME DE GESTION DE PORTEFEUILLE**

Patent Applicant/Assignee:

THE CUBE FINANCIAL GROUP PTY LIMITED, 67-69 Nicholson Street, St  
Leonards, NSW 2065, AU, AU (Residence), AU (Nationality), (For all



designated states except: US)  
METASHARE INTERNATIONAL PTY LIMITED, Unit 1, Level 2, 706 Mowbray Road,  
Lane Cove, NSW 2066, AU, AU (Residence), NZ (Nationality), (For all  
designated states except: US)  
Patent Applicant/Inventor:  
MACKENZIE Colin Kenneth, 201/56 Spit Road, Mosman, NSW 2088, AU, AU  
(Residence), NZ (Nationality), (Designated only for: US)  
LEWIS Maxwell, 33/325 Beaconsfield Parade, St Kilda, VIC 3182, AU, AU  
(Residence), NZ (Nationality), (Designated only for: US)  
Legal Representative:  
SPRUSON & FERGUSON (agent), GPO Box 3898, Sydney, NSW 2001, AU,  
Patent and Priority Information (Country, Number, Date):  
Patent: WO 200365254 A1 20030807 (WO 0365254)  
Application: WO 2003AU91 20030131 (PCT/WO AU0300091)  
Priority Application: AU 2002286 20020201; AU 2002953597 20021231  
Designated States:  
(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)  
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SK  
SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT SE SI  
SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM  
Publication Language: English  
Filing Language: English  
Fulltext Word Count: 13750

Main International Patent Class: G06F-017/60  
Fulltext Availability:  
Detailed Description

#### Detailed Description

... investment advisers can also use the system to monitor specific risk  
conditions associated with their **client's portfolio**, and to provide  
consultation as necessary, Also, **brokers** and **advisers** can use the  
system if they want to trade

12/3,K/3 (Item 3 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00894469  
SYSTEMS AND METHODS FOR A PERSONAL, UNIVERSAL, INTEGRATED ORGANIZER FOR  
LEGACY PLANNING AND STORAGE  
SYSTEMES ET PROCEDES DESTINES A UN ORGANISEUR UNIVERSEL PERSONNEL INTEGRE  
PERMETTANT DE PLANIFIER UN HERITAGE ET DE STOCKER DES DONNEES  
CORRESPONDANTES

Patent Applicant/Inventor:  
FALLON Jill, Arlington, MA, US, US (Residence), US (Nationality)  
Legal Representative:  
GERBER Monica R (agent), Choate, Hall & Stewart, Exchange Place, 53 State  
Street, Boston, MA 02109, US,  
Patent and Priority Information (Country, Number, Date):  
Patent: WO 200227628 A2 20020404 (WO 0227628)  
Application: WO 2001US31045 20010928 (PCT/WO US0131045)

Priority Application: US 2000236943 20000929; US 2001966668 20010928  
Designated States:  
(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL  
TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 11281

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... of title deed

Other real estate 2: address, location of title deed

Etc.

#### C. Financial Records

(1) **Investment advisor / Broker** /Financial planner: names, addresses, telephone numbers

(2) Assets

(i) Checking accounts: name of bank, account...

12/3,K/4 (Item 4 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00894436 \*\*Image available\*\*

#### REAL-TIME TRADING SYSTEM

#### SYSTEME COMMERCIAL EN TEMPS REEL

Patent Applicant/Assignee:

UBS AG, G409, SZHROE Talstrasse 83, CH-8001 Zurich, CH, CH (Residence),  
CH (Nationality)

Inventor(s):

MULINDER Charles, 35 Gwendolen Avenue, London SW15 6EP, GB,  
REICHENBACH Markus, Auf der Wacht 4, CH-4303 Kaiseraugst, CH,  
DAWSON Clyde L, Alte Landstrasse 65, CH-8708 Maennedorf, CH,  
EGLI Roland, Brunngasse 4, CH-8400 Winterthur, CH,  
BRUNER Chris, 17 Roland Gardens, Basement Flat, London SW7 3PE, GB,

Patent Applicant/Inventor:

PARIKH Hiren, 5461 N. East River Road, Apt. 1000, Chicago, IL 60656, US,  
US (Residence), IN (Nationality), (Designated only for: CH)

Patent and Priority Information (Country, Number, Date):

Patent: WO 200227423 A2-A3 20020404 (WO 0227423)

Application: WO 2001IB2249 20010926 (PCT/WO IB0102249)

Priority Application: US 2000236248 20000928; US 2001286284 20010425

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR

LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU SD SE SG SI SK  
SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM  
Publication Language: English  
Filing Language: English  
Fulltext Word Count: 10456

Main International Patent Class: G06F-017/60

Fulltext Availability:

Claims

Claim

... the contemplated transaction. In certain situations, a dealer intervention module 13 is used by a **trader** operating a **trader access** device 15 to control the pricing and **trading activity** of FX services provider 3. If the client places a trade based on the price...and modifying specific price quotes, dealer intervention module 13 may also be used by a **trader** operating **trader access** device 15 to control the pricing and **trading activity** of FX services provider 3 in certain situations. For example, in a volatile market, the...

12/3,K/5 (Item 5 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00856074

**AUTOMATED INVESTMENT SUITABILITY GAUGE**

**PROCEDE ET SYSTEME D'EVALUATION DE LA PERTINENCE D'UN INVESTISSEMENT  
AUTOMATISE**

Patent Applicant/Assignee:

GOLDMAN SACHS & CO, One New York Plaza, New York, NY 10004, US, US  
(Residence), US (Nationality)

Inventor(s):

REICH Hans-Linhard, 228 Borden Road, Middletown, NJ 07748, US,

Legal Representative:

KINCART Joseph P (agent), Clifford Chance Rogers & Wells LLP, 200 Park  
Avenue, New York, NY 10166, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200188743 A2 20011122 (WO 0188743)

Application: WO 2001US15737 20010515 (PCT/WO US0115737)

Priority Application: US 2000204351 20000515; US 2000576089 20000522

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS  
LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ  
TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 5416

Main International Patent Class: G06F-017/00

Fulltext Availability:

Detailed Description

Detailed Description

... trading experience and investment objectives and the effect on an account portfolio.

Traditionally, a financial **advisor** or **broker** provides trading advice to an **investor** relating to potential **investments**. Regulatory authorities require that registered representatives comply with rules relating to the suitability arising out...

12/3,K/6 (Item 6 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All'rts. reserv.

00828050 \*\*Image available\*\*

**SEPARATE ACCOUNT PROCESSING**

**TRAITEMENT DE COMPTE SEPRE**

Patent Applicant/Assignee:

SEPARATE ACCOUNT SOLUTIONS, 26366 Carmel Rancho Lane, Suite F, Carmel, CA 93923, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

FREEMAN Kevin, 709 Lakeway, Keller, TX 76248, US, US (Residence), US (Nationality), (Designated only for: US)

DAVIDSON Erik, 25978 Mission Street, Carmel, CA 93923, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

VILLENEUVE Joseph (agent), Beyer Weaver & Thomas, LLP, 2030 Addison Street, 7th Floor, Berkeley, CA 94704, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200161593 A1 20010823 (WO 0161593)

Application: WO 2001US3798 20010205 (PCT/WO US0103798)

Priority Application: US 2000182458 20000215; US 2000527378 20000316; US 2000527383 20000316; US 2000527382 20000316; US 2000527486 20000316; US 2000527384 20000316; US 2000550673 20000417; US 2000549877 20000417; US 2000550688 20000417; US 2000749985 20001226

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT  
LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 15141

Main International Patent Class: G06F-017/60

Fulltext Availability:

Claims

Claim

... a managed online brokerage account for a client, comprising the steps

of  
opening an online client brokerage account with an online broker ;  
providing an advisor authority to manage the online client brokerage  
account ; periodically withdrawing a portion of the assets of the online  
client brokerage  
account; and  
paying...

12/3,K/7 (Item 7 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00826121 \*\*Image available\*\*

**APPARATUS, METHOD AND PROGRAM FOR A FIXED INCOME TRADING SYSTEM**  
**APPAREIL, PROCEDE ET PROGRAMME POUR SYSTEME DE NEGOCIATION DE VALEURS A**  
**REVENU FIXE**

Patent Applicant/Inventor:

FENICHEL Peter I, 23 Maragetta Terrace, London SW3 5NU, GB, GB  
(Residence), GB (Nationality)  
EZRA Michael J, 14 Arkwright Road, Hampstead, London NW3 6BG, GB, GB  
(Residence), GB (Nationality)  
CARY Steven H, 180 Pear Tree Point Road, Darien, CT 06820, US, US  
(Residence), US (Nationality)  
JOHNSON-WATT Duncan, 82 Warwick Park, Tunbridge Wells, Kent TN2 5EF, GB,  
GB (Residence), GB (Nationality)  
LEFFERTS David H, Apartment 7A, 420 East 54th Street, New York, NY 10022,  
US, US (Residence), US (Nationality)  
MISCIMARRA Anthony F Jr, 9 George Langeloh Court, Rye, NY 10580, US, US  
(Residence), US (Nationality)  
MOSELEY Rachel N, One Berwick Road, Scarsdale, NY 10583, US, US  
(Residence), US (Nationality)  
PAULL Michael John Crichton, 1 Kersley Mews, Battersea, London SW11 4PS,  
GB, GB (Residence), GB (Nationality)  
ROSS Howard L, 92 Irma Drive, Oceanside, NY 11572, US, US (Residence), US  
(Nationality)

Legal Representative:

SHARROTT Douglas (et al) (agent), Fitzpatrick, Cella, Harper & Scinto, 30  
Rockefeller Plaza, New York, NY 10112, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200159661 A2 20010816 (WO 0159661)  
Application: WO 2001US3987 20010208 (PCT/WO US0103987)  
Priority Application: US 2000500322 20000208

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT  
LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 38023

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... the system 100 is an organization and display feature that allows a user to view **trading activity** on the system 100, A **trader** can **access** several different views of a book, including the "Top of Book," the "Depth of Book...with these features, the process bar 310 provide yet 103 another efficient means for a **trader** to **monitor** his **trading activity** .

As will be appreciated by those skilled in the art, from a system perspective, the...

12/3,K/8 (Item 8 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00785182 \*\*Image available\*\*

**TRANSACTION AND ACCOUNT MANAGEMENT SYSTEM**

**SYSTEME DE GESTION DE COMPTE ET DE TRANSACTION**

Patent Applicant/Assignee:

WIZARD TECHNOLOGIES INC, 33 Century Ridge Road, Purchase, NY 10577, US,  
US (Residence), US (Nationality)

Inventor(s):

DEMIRJIAN Ted A, 33 Century Ridge Road, Purchase, NY 10577, US,

Legal Representative:

ALTMAN Daniel E (agent), Knobbe, Martens, Olson and Bear, LLP, 620  
Newport Center Drive, 16th Floor, Newport Beach, CA 92660, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200118714 A2 20010315 (WO 0118714)

Application: WO 2000US24604 20000908 (PCT/WO US0024604)

Priority Application: US 99152920 19990908

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ CZ (utility model) DE DE (utility model) DK DK (utility model) DM DZ EE EE (utility model) ES FI FI (utility model) GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SK (utility model) SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW (EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 8220

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... multiple brokerdealers or as a single block order trade. The dealing rules 304 for each **client account** would be readily **accessible** and the **trader** can accommodate them easily. The trader then would be able to use the on-line...

12/3,K/9 (Item 9 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00781959 \*\*Image available\*\*

**APPARATUS AND METHOD FOR PROVIDING FINANCIAL INFORMATION AND/OR INVESTMENT INFORMATION**

**PROCEDE ET DISPOSITIF DE FOURNITURE D'INFORMATIONS SUR LES FINANCES ET/OU LES INVESTISSEMENTS**

Patent Applicant/Inventor:

JOAO Raymond Anthony, 122 Bellevue Place, Yonkers, NY 10703, US, US  
(Residence), US (Nationality)

Legal Representative:

JOAO Raymond Anthony (agent), 122 Bellevue Place, Yonkers, NY 10703, US,  
Patent and Priority Information (Country, Number, Date):

Patent: WO 200115093 A2-A3 20010301 (WO 0115093)

Application: WO 2000US23074 20000823 (PCT/WO US0023074)

Priority Application: US 99150410 19990824

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT  
LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 22868

Main International Patent Class: G06F-017/00

Fulltext Availability:

Detailed Description

Detailed Description

... hold or own a position.

The present invention can provide information to any individual, individual **investor**, brokerage **account** owner, brokerage **account** holder, institutional **investor**, financial **advisor**, financial planner, **broker**, and/or dealer.

In the preferred embodiment, the present invention can be utilized to provide...

12/3,K/10 (Item 10 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00779724 \*\*Image available\*\*

**AUTOMATED ANALYSIS FOR FINANCIAL ASSETS**

**ANALYSE AUTOMATIQUE D'ACTIFS FINANCIERS**

Patent Applicant/Assignee:

WESTPORT FINANCIAL LLC, 11 Mallard Lane, Westport, CT 06880, US, US

(Residence), US (Nationality), (For all designated states except: US)  
Patent Applicant/Inventor:

LI Bin, 11 Mallard Lane, Westport, CT 06880, US, US (Residence), CN  
(Nationality), (Designated only for: US)

Legal Representative:

WHITMYER Wesley W Jr, St.Onge Steward Johnston & Reens LLC, 986 Bedford  
Street, Stamford, CT 06905-5619, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200113308 A1 20010222 (WO 0113308)

Application: WO 2000US22549 20000816 (PCT/WO US0022549)

Priority Application: US 99149066 19990816

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB  
GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA  
MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA  
UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 8062

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... who buy/sell on behalf of investors. Investors typically have had to  
rely upon the **advice** of **traders** or **brokers** in making **investment**  
decisions. **Investors** who wanted to invest for themselves, thereby  
avoiding paying broker fees, were usually faced with...

12/3,K/11 (Item 11 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00748779 \*\*Image available\*\*

**A METHOD AND SYSTEM FOR PROVIDING DATA TO A USER BASED ON A USER'S QUERY**  
**METHODE ET SYSTEME PERMETTANT DE FOURNIR DES DONNEES A UN UTILISATEUR EN**  
**FONCTION D'UNE INTERROGATION D'UTILISATEUR**

Patent Applicant/Assignee:

MULTEX COM INC, 33 Maiden Lane, New York, NY 10038, US, US (Residence),  
US (Nationality)

Inventor(s):

URAZOV Yuri, 110-50 72nd Road, Apartment 2, Forest Hills, NY 11375, US

BELITSKI Evgueni, 146 92nd Street, Apartment D5, Brooklyn, NY 11209, US

Legal Representative:

MCCABE Philip J, Kenyon & Kenyon, One Broadway, New York, NY 10004, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200062200 A1 20001019 (WO 0062200)

Application: WO 2000US8933 20000404 (PCT/WO US0008933)

Priority Application: US 99290121 19990412

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM DZ EE ES



FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT  
TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 8644

Main International Patent Class: G06F-017/30

Fulltext Availability:

Detailed Description

Detailed Description

... money creating, printing and  
distributing thousands of graphic-rich research reports to  
investors (e.g., customers, remote sales offices, investment  
advisors, brokers, portfolio managers, etc.). Research  
providers seeking to reduce costs may consider distributing  
these reports electronically...

12/3,K/12 (Item 12 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00515306 \*\*Image available\*\*

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR OTHERS  
TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR  
LIABILITIES ON A COST EFFECTIVE BASIS

PROCEDE ET APPAREIL PERMETTANT A DES PARTICULIERS, DES PETITS INVESTISSEURS  
OU AUTRES DE CREER ET GERER UN PORTEFEUILLE DE TITRES OU AUTRES SUR UNE  
BASE EFFICACE EN TERMES DE COUT

Patent Applicant/Assignee:

FOLIO TRADE LLC,

Inventor(s):

WALLMAN Steven M H,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9946658 A2 19990916

Application: WO 99US5010 19990305 (PCT/WO US9905010)

Priority Application: US 9838158 19980311; US 98139020 19980824

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GD GE GH  
GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN  
MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW  
GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH CY DE  
DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN GW ML MR  
NE SN TD TG.

Publication Language: English

Fulltext Word Count: 33412

Main International Patent Class: G06F

Fulltext Availability:

Detailed Description

Detailed Description

... provide the missing capabilities discussed above.

5. Failure to Monitor Portfolio Based Tax Effects. Although **brokers** obviously could **monitor** the overall tax effects of a **portfolio** for their **customers**, 1 5 they generally do not. The concept behind brokerage is usually-the selection of...

12/3,K/13 (Item 13 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00442667

INFORMATION DELIVERY SYSTEM AND METHOD INCLUDING ON-LINE ENTITLEMENTS  
SYSTEME DE DISTRIBUTION D'INFORMATIONS ACCORDANT DES AUTORISATIONS EN LIGNE  
ET PROCEDE CORRESPONDANT

Patent Applicant/Assignee:

MULTEX SYSTEMS INC,

Inventor(s):

KITAIN Eduard,

KARAEV Isaak,

MAHONEY John J,

MC CARTHY Mary Ellen,

TOUSIGNANT James M,

BAIRD George,

BLAZEK Paul,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9833131 A1 19980730

Application: WO 98US1503 19980128 (PCT/WO US9801503)

Priority Application: US 97789768 19970128

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GW

HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO

NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW GH GM KE

LS MW SD SZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH DE DK ES FI FR GB

GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN ML MR NE SN TD TG

Publication Language: English

Fulltext Word Count: 28395

Main International Patent Class: G06F-017/30

Fulltext Availability:

Detailed Description

Detailed Description

... format reflecting the

layout of the corresponding printed research report. it

would be beneficial if **investors**, **portfolio** managers,

**investment** brokers and **traders** could also **access**, at a

single site, using a single integrated system, the wide

array of information that...



12/3,K/14 (Item 14 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00428953

\*\*Image available\*\*

CORPORATE INFORMATION COMMUNICATION AND DELIVERY SYSTEM AND METHOD

INCLUDING ENTITLABLE HYPERTEXT LINKS  
SYSTEME ET PROCEDE DE COMMUNICATIONS ET DE PRESTATION D'INFORMATIONS  
D'ENTREPRISES COMPORTANT DES LIAISONS HYPERTEXTES AUXQUELLES DES TITRES  
PEUVENT ETRE DONNES

Patent Applicant/Assignee:

MULTEX SYSTEMS INC,

Inventor(s):

MAHONEY John J,  
MACCARTHY Mary Ellen,  
TOUSIGNANT James M,  
KARAEV Isaak,  
BAIRD George,  
BLAZEK Paul,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9819417 A2 19980507

Application: WO 97US19568 19971028 (PCT/WO US9719568)

Priority Application: US 96739377 19961029

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH HU  
ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ  
PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW GH KE LS MW  
SD SZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH DE DK ES FI FR GB GR IE  
IT LU MC NL PT SE BF BJ CF CG CI CM GA GN ML MR NE SN TD TG

Publication Language: English

Fulltext Word Count: 12146

Main International Patent Class: G06F-017/30

Fulltext Availability:

Detailed Description

Detailed Description

... format reflecting the

layout of the corresponding printed research report. It  
would be beneficial if **investors** , **portfolio** managers,  
**investment** brokers and **traders** could also **access** , at a  
single site, using a single integrated system, the wide  
array of information that...

?

14/3,K/1 (Item 1 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

01020743 \*\*Image available\*\*

**SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS IN A FINANCIAL SERVICES  
ORGANIZATION TO SELF-PUBLISH CONTENT**

**SYSTEME ET PROCEDE PERMETTANT A DES FOURNISSEURS DE CONTENU D'UNE  
INSTITUTION DE SERVICES FINANCIERS D'AUTO-PUBLIER UN CONTENU**

Patent Applicant/Assignee:

UBS PAINEWEBBER INC, 1200 Harbor Blvd., Weehawken, NJ 07087, US, US  
(Residence), US (Nationality)

Inventor(s):

DESHPANDE Sanjay, 85 Spruce Avenue, Emerson, NJ 07630, US,  
WILLIAMS Meaghan C, 156 Washington Avenue, Chatham, NJ 07928, US,  
CHEN Kitty C, 30 Borglum Road, Manhasset, NY 11030, US,  
BANERJEE Ajay C, 333 East 53rd Street, Apt. 2M, New York, NY 10022, US,

Legal Representative:

RESTAINO Leslie Gladstone (agent), Brown Raysman Millstein Felder &  
Steiner LLP, 163 Madison Avenue, PO Box 1989, Morristown, NJ 07962-1089  
, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200350657 A2-A3 20030619 (WO 0350657)

Application: WO 2002US39598 20021210 (PCT/WO US0239598)

Priority Application: US 20018269 20011210

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SK  
SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LU MC NL PT SE SI SK  
TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9880

Main International Patent Class: **G06F-013/38**

Fulltext Availability:

Detailed Description

Detailed Description

... may be implemented on any number of different computing platforms.

As used herein, the ConsultWorks, **ConsultNet**, PWOS, Public Web Site,  
CSCInTouch, and CSC Investor Connection are platforms used by UBS  
PaineWebber, the present assignee.

1 5 The **Consultnet**, Edge, CSCIntouch, and Investor Connection servers  
represent examples of ...Consultworks servers and live CMS/CMA servers  
may have similar  
as discussed above for the **Consultnet**, Edge, CSCIntouch, and Investor  
speci  
Connection servers. Here, a live CMS/CMA server is used...

18/3,K/1 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2004 Thomson Derwent. All rts. reserv.

015803918 \*\*Image available\*\*  
WPI Acc No: 2003-866121/200380  
XRPX Acc No: N03-691390

Browser interface for integrated financial service system, has task menu giving user-selected tasks with financial application, object menu providing user with link to each application and action menu giving user specific actions

Patent Assignee: UBS PAINEWEBBER INC (UBSP-N)  
Inventor: MARTONE B J ; MURPHY M F; MURPHY R F  
Number of Countries: 101 Number of Patents: 002  
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200396253	A1	20031120	WO 2003US14945	A	20030512	200380 B
AU 2003245275	A1	20031111	AU 2003245275	A	20030512	200442

Priority Applications (No Type Date): US 2002143477 A 20020510  
Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
WO 200396253	A1	E	87 G06F-017/60	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SC SD SE SG SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW

Designated States (Regional): AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NL OA PT RO SD SE SI SK SL SZ TR TZ UG ZM ZW

AU 2003245275 A1 G06F-017/60 Based on patent WO 200396253  
Inventor: MARTONE B J ...  
International Patent Class (Main): G06F-017/60

18/3,K/2 (Item 2 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2004 Thomson Derwent. All rts. reserv.

015573463 \*\*Image available\*\*  
WPI Acc No: 2003-635620/200360  
Related WPI Acc No: 2001-570583; 2002-256089  
XRPX Acc No: N03-505579

Financial application providing system in Internet, has database from which session state information is retrieved to display second window having additional content, during session establishment between server and client

Patent Assignee: FAHEY K Y (FAHE-I); FITZPATRICK W J (FITZ-I); MESSANO D (MESS-I); SAIDENBERG S D (SAID-I)  
Inventor: FAHEY K Y; FITZPATRICK W J ; MESSANO D; SAIDENBERG S D  
Number of Countries: 001 Number of Patents: 001  
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030110117	A1	20030612	US 2000182364	P	20000214	200360 B
			US 2000696693	A	20001025	
			US 2003350669	A	20030123	

Priority Applications (No Type Date): US 2000182364 P 20000214; US

2000696693 A 20001025; US 2003350669 A 20030123  
Patent Details:  
Patent No Kind Lan Pg Main IPC Filing Notes  
US 20030110117 A1 30 G06F-017/60 Provisional application US 2000182364

CIP of application US 2000696693

...Inventor: FITZPATRICK W J  
International Patent Class (Main): G06F-017/60

18/3,K/3 (Item 3 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2004 Thomson Derwent. All rts. reserv.

014435386 \*\*Image available\*\*  
WPI Acc No: 2002-256089/200230  
Related WPI Acc No: 2001-570583; 2003-635620  
XRPX Acc No: N02-198086

Integrated system for providing financial services, has application  
interface operable on workstation for accessing a finance related  
software application from communicated information  
Patent Assignee: PAINEWEBBER INC (PAIN-N)  
Inventor: DISTAULO M; FAHEY K; FITZPATRICK W ; FURLONG J; HUMMELBERG D ;  
MAUER R

Number of Countries: 094 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200161590	A2	20010823	WO 2001US1884	A	20010117	200230 B
AU 200129660	A	20010827	AU 200129660	A	20010117	200230

Priority Applications (No Type Date): US 2000696693 A 20001025; US  
2000182364 P 20000214

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes  
WO 200161590 A2 E 52 G06F-017/60  
Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA  
CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP  
KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT  
RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW  
Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR  
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW  
AU 200129660 A G06F-017/60 Based on patent WO 200161590

...Inventor: FITZPATRICK W ...

... HUMMELBERG D ...

... MAUER R

International Patent Class (Main): G06F-017/60

18/3,K/4 (Item 4 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2004 Thomson Derwent. All rts. reserv.

014086369 \*\*Image available\*\*  
WPI Acc No: 2001-570583/200164  
Related WPI Acc No: 2002-256089; 2003-635620  
XRPX Acc No: N01-425232

Browser interface for providing financial services through internet,  
displays view window for presenting information from application menu and

**market data function menu**

Patent Assignee: PAINWEBBER INC (PAIN-N); MARTONE B J (MART-I); MURPHY M F (MURP-I); MURPHY R F (MURP-I)

Inventor: MARTONE B J ; MURPHY M F; MURPHY R F; FITZPATRICK W ; FURLONG J ; HUMMELBERG D ; MARTONE B ; MAUER R

Number of Countries: 094 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200161589	A2	20010823	WO 2001US1881	A	20010117	200164 B
AU 200129657	A	20010827	AU 200129657	A	20010117	200176
US 20020138389	A1	20020926	US 2000182364	P	20000214	200265
			US 2000712358	A	20001114	
			US 2002143477	A	20020510	

Priority Applications (No Type Date): US 2000712358 A 20001114; US 2000182364 P 20000214; US 2002143477 A 20020510

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 200161589	A2	E	60	G06F-017/60	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200129657	A			G06F-017/60	Based on patent WO 200161589
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US 20020138389	A1			G06F-017/60	Provisional application US 2000182364
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CIP of application US 2000712358

Inventor: MARTONE B J ...

... FITZPATRICK W ...

... HUMMELBERG D ...

... MARTONE B ...

... MAUER R

International Patent Class (Main): G06F-017/60

18/3,K/5 (Item 1 from file: 348)

DIALOG(R)File 348:EUROPEAN PATENTS

(c) 2004 European Patent Office. All rts. reserv.

01684438

**BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM**

**INTERFACE NAVIGATEUR ET SYSTEME DE SERVICES FINANCIERS A BASE DE RESEAU**

PATENT ASSIGNEE:

UBS Painwebber Inc., (4003210), 1200 Harbor Blvd., Weehawken, NJ 07087, (US), (Applicant designated States: all)

INVENTOR:

MARTONE, Brian, J. , 900 Willow Avenue, Apartment 7, Hoboken, NJ 07030, (US)

MURPHY, Richard, F., 860 Bryant Avenue, New Hyde Park, NY 11040, (US)

MURPHY, Michael, F., 211 Kinderkamack Road, River Edge, NJ 07661, (US)

PATENT (CC, No, Kind, Date):

WO 2003096253 031120

APPLICATION (CC, No, Date): EP 2003738913 030512; WO 2003US14945 030512

PRIORITY (CC, No, Date): US 143477 020510

DESIGNATED STATES: AT; BE; BG; CH; CY; CZ; DE; DK; EE; ES; FI; FR; GB; GR;

HU; IE; IT; LI; LU; MC; NL  
EXTENDED DESIGNATED STATES: AL; LT; LV; MK  
INTERNATIONAL PATENT CLASS: G06F-017/60  
LANGUAGE (Publication,Procedural,Application): English; English; English  
INVENTOR:

MARTONE, Brian, J ...  
INTERNATIONAL PATENT CLASS: G06F-017/60

18/3,K/6 (Item 2 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
(c) 2004 European Patent Office. All rts. reserv.

01343128

SYSTEM FOR PROVIDING FINANCIAL SERVICES  
SYSTEM ZUM BEREITSTELLEN VON FINANZIELLEN DIENSTEN  
SYSTEME DE FOURNITURE DE SERVICES FINANCIERS

PATENT ASSIGNEE:

UBS PaineWebber Inc., (4003210), 1200 Harbor Blvd., Weehawken, NJ 07087,  
(US), (Applicant designated States: all)

INVENTOR:

FITZPATRICK, William , 77 Concord Circle, Howell, NJ 07731, (US)  
FURLONG, John, 77 Westgate Boulevard, Plandome, NY 11030, (US)  
MAUER, Robert , Two Crabtree Lane, Levittown, NY 11756, (US)  
HUMMELBERG, David , 20 Pheasant Run Drive, Basking Ridge, NJ 07920, (US)  
FAHEY, Kathleen, 463 Cove Road, Unit 6, Stamford, CT 06902, (US)  
DISTAULO, Mark, 55 Bently Avenue, Jersey City, NJ 07304, (US)  
PATENT (CC, No, Kind, Date):

WO 2001061590 010823  
APPLICATION (CC, No, Date): EP 2001953035 010117; WO 2001US1884 010117  
PRIORITY (CC, No, Date): US 182364 P 000214; US 696693 001025  
DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;  
LU; MC; NL; PT; SE; TR  
EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI  
INTERNATIONAL PATENT CLASS: G06F-017/60  
LANGUAGE (Publication,Procedural,Application): English; English; English

INVENTOR:

FITZPATRICK, William ...

...US)

MAUER, Robert ...

...US)

HUMMELBERG, David ...

INTERNATIONAL PATENT CLASS: G06F-017/60

18/3,K/7 (Item 3 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
(c) 2004 European Patent Office. All rts. reserv.

01343127

BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM  
SCHNITTSTELLE ZU EINEM INTERNETZUGANGSPROGRAMM UND EIN AUF EIN NETZWERK  
BASIERTES FINANZIELLES DIENSTLEISTUNGSSYSTEM

INTERFACE D'EXPLORATION ET SYSTEME DE SERVICES FINANCIERS SUR RESEAU

PATENT ASSIGNEE:

PaineWebber Incorporated, (3381950), 1200 Harbor Boulevard, Weehawken, NJ  
07087, (US), (Applicant designated States: all)



INVENTOR:

FITZPATRICK, William , 77 Concord Circle, Howell, NJ 07731, (US)  
FURLONG, John, 77 Westgate Boulevard, Plandome, NY 11030, (US)  
MAUER, Robert , 2 Crabtree Lane, Levittown, NY 11756, (US)  
HUMMELBERG, David , 20 Pheasant Run Drive, Basking Ridge, NJ 07920, (US)  
MARTONE, Brian , 900 Willow Avenue, Apartment 7, Hoboken, NJ 07030, (US)  
PATENT (CC, No, Kind, Date):

WO 2001061589 010823  
APPLICATION (CC, No, Date): EP 2001953034 010117; WO 2001US1881 010117  
PRIORITY (CC, No, Date): US 182364 P 000214; US 712358 001114  
DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;  
LU; MC; NL; PT; SE; TR  
EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI  
INTERNATIONAL PATENT CLASS: G06F-017/60  
LANGUAGE (Publication,Procedural,Application): English; English; English

INVENTOR:

FITZPATRICK, William ...

...US)

MAUER, Robert ...

...US)

HUMMELBERG, David ...

...US)

MARTONE, Brian ...

INTERNATIONAL PATENT CLASS: G06F-017/60

18/3,K/8 (Item 1 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

01066638 \*\*Image available\*\*

BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM  
INTERFACE NAVIGATEUR ET SYSTEME DE SERVICES FINANCIERS A BASE DE RESEAU

Patent Applicant/Assignee:

UBS PAINEWEBBER INC, 1200 Harbor Boulevard, Weehawken, NJ 07087, US, US  
(Residence), US (Nationality)

Inventor(s):

MARTONE Brian J , 900 Willow Avenue, Apartment #7, Hoboken, NJ 07030, US

MURPHY Richard F, 860 Bryant Avenue, New Hyde Park, NY 11040, US,  
MURPHY Michael F, 211 Kinderkamack Road, River Edge, NJ 07661, US

Legal Representative:

RESTAINO Leslie Gladstone (agent), Brown Rayman Millstein Felder and  
Steiner LLP, 163 Madison Avenue, P.O. Box 1989, Morristown, NJ  
07962-1989, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200396253 A1 20031120 (WO 0396253)

Application: WO 2003US14945 20030512 (PCT/WO US0314945)

Priority Application: US 2002143477 20020510

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SC SD SE SG  
SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE  
SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM  
Publication Language: English  
Filing Language: English  
Fulltext Word Count: 13488

Inventor(s):  
**MARTONE Brian J ...**  
Main International Patent Class: **G06F-017/60**

**18/3,K/9 (Item 2 from file: 349)**  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00828047 \*\*Image available\*\*

**SYSTEM FOR PROVIDING FINANCIAL SERVICES**  
**SYSTEME DE FOURNITURE DE SERVICES FINANCIERS**

Patent Applicant/Assignee:

UBS PAINWEBBER INC, 1200 Harbor Boulevard, Weehawken, NJ 07087, US, US  
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

**FITZPATRICK William**, 77 Concord Circle, Howell, NJ 07731, US, US  
(Residence), US (Nationality), (Designated only for: US)

**FURLONG John**, 77 Westgate Boulevard, Plandome, NY 11030, US, US  
(Residence), US (Nationality), (Designated only for: US)

**MAUER Robert**, Two Crabtree Lane, Levittown, NY 11756, US, US  
(Residence), US (Nationality), (Designated only for: US)

**HUMELBERG David**, 20 Pheasant Run Drive, Basking Ridge, NJ 07920, US,  
US (Residence), US (Nationality), (Designated only for: US)

**FAHEY Kathleen**, 463 Cove Road, Unit #6, Stamford, CT 06902, US, US  
(Residence), US (Nationality), (Designated only for: US)

**DISTAULO Mark**, 55 Bently Avenue, Jersey City, NJ 07304, US, US  
(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

BROWN RAYSMAN MILLSTEIN FELER & STEINER LLP (agent), 900 Third Avenue,  
New York, NY 10022-4728, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200161590 A2 20010823 (WO 0161590)

Application: WO 2001US1884 20010117 (PCT/WO US0101884)

Priority Application: US 2000182364 20000214; US 2000696693 20001025

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT  
LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9354

Patent Applicant/Inventor:

**FITZPATRICK William ...**  
...Designated only for: US)  
**MAUER Robert ...**

...Designated only for: US)  
**HUMMELBERG David ...**

Main International Patent Class: G06F-017/60

18/3,K/10 (Item 3 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2004 WIPO/Univentio. All rts. reserv.

00828046 \*\*Image available\*\*

**BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM**  
**INTERFACE D'EXPLORATION ET SYSTEME DE SERVICES FINANCIERS SUR RESEAU**

Patent Applicant/Assignee:

PAINEWEBBER INCORPORATED, 1200 Harbor Boulevard, Weehawken, NJ 07087, US,  
US (Residence), US (Nationality), (For all designated states except:  
US)

Patent Applicant/Inventor:

**FITZPATRICK William**, 77 Concord Circle, Howell, NJ 07731, US, US  
(Residence), US (Nationality), (Designated only for: US)  
**FURLONG John**, 77 Westgate Boulevard, Plandome, NY 11030, US, US  
(Residence), US (Nationality), (Designated only for: US)  
**MAUER Robert**, 2 Crabtree Lane, Levittown, NY 11756, US, US (Residence),  
US (Nationality), (Designated only for: US)  
**HUMMELBERG David**, 20 Pheasant Run Drive, Basking Ridge, NJ 07920, US,  
US (Residence), US (Nationality), (Designated only for: US)  
**MARTONE Brian**, 900 Willow Avenue, Apartment 7, Hoboken, NJ 07030, US,  
US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

WARNICK Spencer (et al) (agent), Hoffman, Warnick & D'Alessandro LLC, 3  
E-Comm Square, Albany, NY 12207, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200161589 A2 20010823 (WO 0161589)  
Application: WO 2001US1881 20010117 (PCT/WO US0101881)  
Priority Application: US 2000182364 20000214; US 2000712358 20001114

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT  
LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG US UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 10357

Patent Applicant/Inventor:

**FITZPATRICK William ...**  
...Designated only for: US)  
**MAUER Robert ...**

...Designated only for: US)  
**HUMMELBERG David ...**

STN Search

=> d hist

(FILE 'HOME' ENTERED AT 15:51:28 ON 26 NOV 2004)

FILE 'CONFSCI' ENTERED AT 15:51:33 ON 26 NOV 2004

L1	4 S (TRADING OR INVESTMENT?) (3N) (RECORD OR RECORDS OR ACTIVITY OR
L2	0 S (TRADER OR TRADERS OR BROKER OR BROKERS) (3N) ACCESS?
L3	0 S (TRADER OR TRADERS OR BROKER OR BROKERS) (3N) (REVIEW? OR TRACK

STN Search

=> display 11

ENTER ANSWER NUMBER OR RANGE (1):1-4

ENTER DISPLAY FORMAT (BIB):bib

L1 ANSWER 1 OF 4 CONFSCI COPYRIGHT 2004 CSA on STN  
 AN 2001:72031 CONFSCI  
 DN 01-072031  
 TI Singing **activity** and **investment** in parental care in  
 the great tit, Parus major  
 AU Aaroe, A.F.; Dabelsteen, T.  
 SO International Council of Ethologists, Auf der Morgenstelle 28, 72076  
 Tübingen, Germany; phone: 49-7071-2972624; fax: 49-7071-294634; email:  
 ethology01@uni-tuebingen.de; URL: homepages.uni-tuebingen.de/ethology01.  
 Poster Paper No. I/017.  
 Meeting Info.: 000 5730: 27th International Ethological Conference  
 (0005730). Tübingen (Germany). 22-29 Aug 2001. International Council of  
 Ethologists, Ethologische Gesellschaft e.V..  
 DT Conference  
 FS DCCP  
 LA English

L1 ANSWER 2 OF 4 CONFSCI COPYRIGHT 2004 CSA on STN  
 AN 95:66028 CONFSCI  
 DN 95-066028  
 TI Development of **investment activity** in the Kola region  
 AU Didyk, V.  
 SO International Arctic Social Sciences Association Secretariat, Dept. of  
 Eskimology, Standgade 100H, DK-1401, Copenhagen K, Denmark, Selected full  
 papers available in December 1995..  
 Meeting Info.: 952 5019: 2nd International Congress of Arctic Social  
 Sciences (9525019). Rovaniemi (Finland). 28 May-1 Jun 1995. Finnish  
 Ministry of Education; University of Lapland; Nordic Sami Institute.  
 DT Conference  
 FS DCCP  
 LA English

L1 ANSWER 3 OF 4 CONFSCI COPYRIGHT 2004 CSA on STN  
 AN 90:4272 CONFSCI  
 DN 90034061  
 TI Cross-border mineral **investment activity** in the  
 Pacific Rim  
 AU Tinsley, C.R.  
 CS Prudential-Bache Capital Funding, Sydney, N.S.W., Australia  
 SO SME, Inc., Publications Sales, P.O. Box 625002, Littleton, CO 80162-5002,  
 USA., Control '90, 0-87335-088-X, \$68.50; Advanced Materials,  
 0-87335-089-9, \$58.50; Gold '90, 0-87335-091-X, \$63.50..  
 Meeting Info.: 901 0293: Society of Mining Engineers Annual Meeting and  
 Exhibit (9010293). Salt Lake City, UT (USA). 26 Feb - 1 Mar 1990. Society  
 of Mining Engineers; American Institute of Mining, Metallurgical &  
 Petroleum Engineers; Society of Economic Geologists.  
 DT Conference  
 FS DCCP  
 LA UNAVAILABLE

L1 ANSWER 4 OF 4 CONFSCI COPYRIGHT 2004 CSA on STN  
 AN 88:6330 CONFSCI  
 DN 88028342  
 TI Impact of "Superfund" and other environmental statutes on commercial  
 lending and **investment activities**

STN Search

AU Murphy, M.  
CS White and Case, New York, NY  
SO Society of Mining Engineers, P.O. Box 625002, Littleton, CO 80162-5002  
(USA), Publication availability uncertain.  
Meeting Info.: 881 0159: Society of Mining Engineers Annual Meeting  
(8810159). Phoenix, AZ (USA). 25-28 Jan 1988. Society of Mining Engineers  
(SME); The Metallurgical Society (TMS); American Institute of Mining,  
Metallurgical and Petroleum Engineers (AIME).  
DT Conference  
FS DCCP  
LA UNAVAILABLE